

JONES PATRICK S  
Form 4  
June 01, 2018

**FORM 4**

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
JONES PATRICK S

(Last) (First) (Middle)

C/O FLUIDIGM CORPORATION, 7000 SHORELINE COURT, SUITE 100

(Street)

SOUTH SAN FRANCISCO, CA 94080

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
FLUIDIGM CORP [FLDM]

3. Date of Earliest Transaction (Month/Day/Year)  
05/30/2018

4. If Amendment, Date Original Filed (Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)

6. Individual or Joint/Group Filing (Check Applicable Line)

Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------|---|---|--|--|
|                                 |                                      |  | Code               | V   | Amount  | (A) or (D)   | Price  |
| Common Stock                    | 05/30/2018                           |  | M                  |   | 5,000   | A  | \$ 0   |
| Common Stock                    | 05/30/2018                           |  | M                  |   | 3,000   | A  | \$ 0   |
| Common Stock <sup>(1)</sup>     | 05/31/2018                           |  | A                  |   | 6,100 <sub>(2)</sub>  | A  | \$ 0   |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

**Persons who respond to the collection of information contained in this form are not**

SEC 1474 (9-02)

required to respond unless the form displays a currently valid OMB control number.

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |                            |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable Expiration Date                         | Title   | Amount or Number of Shares |
| Restricted Stock Units                     | (1)  | 05/30/2018                           |  | M                              | 5,000   | (3) (3)  | Common Stock  | 5,000                      |
| Restricted Stock Units                     | (1)  | 05/30/2018                           |  | M                              | 3,000   | (4) (4)  | Common Stock  | 3,000                      |
| Stock Option (Right to Buy)                | \$ 5.57  | 05/31/2018                           |  | A                              | 10,600  | (5) 05/31/2028   | Common Stock  | 10,600                     |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |         |       |
|---|---------------|-----------|---------|-------|
|   | Director      | 10% Owner | Officer | Other |
| JONES PATRICK S<br>C/O FLUIDIGM CORPORATION<br>7000 SHORELINE COURT, SUITE 100<br>SOUTH SAN FRANCISCO, CA 94080 |               | X         |         |       |

## Signatures

/s/ Patrick S. Jones by Nicholas Khadder,  
Attorney-in-Fact

06/01/2018

\*\*Signature of Reporting Person Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).
  - \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Each Restricted Stock Unit represents the contingent right to receive one share of FLDM common stock upon vesting of the unit.
- All shares underlying the Restricted Stock Units will fully vest on the earlier to occur of (i) one day prior to the date of the next annual meeting of the stockholders of the Company or (ii) May 31, 2019, in each case subject to recipient's continued service as a director through the applicable vest date.
- (2)

## Edgar Filing: JONES PATRICK S - Form 4

- (3) On August 1, 2017, the Reporting Person was granted Restricted Stock Units, vesting fully on the earlier to occur of: (i) one day prior to the date of the next annual meeting of the stockholders of the Company; or (ii) August 1, 2018, subject to continued service as a director through the vesting date.
- (4) On September 13, 2017, the Reporting Person was granted Restricted Stock Units, vesting fully on the earlier to occur of: (i) one day prior to the date of the next annual meeting of the stockholders of the Company; or (ii) August 1, 2018, subject to continued service as a director through the vesting date.
- (5) 1/12th of the shares subject to the Option will vest monthly over twelve months, subject to continued service as a director, such that the Option will be fully vested on May 31, 2019.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.