Khadder Nicholas Form 4 November 07, 2018

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

30(h) of the Investment Company Act of 1940

**OMB APPROVAL** OMB

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Check this box

**SECURITIES** Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue.

See Instruction 1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \* Khadder Nicholas

> (First) (Middle)

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

(State)

(Zin)

(Street)

2. Issuer Name and Ticker or Trading Symbol

FLUIDIGM CORP [FLDM]

3. Date of Earliest Transaction (Month/Day/Year) 11/05/2018

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

See Remarks

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

**SOUTH SAN** FRANCISCO, CA 94080

| (City)                               | (State) (                            | Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |  |               |   |                   |  |  |   |  |
|--------------------------------------|--------------------------------------|--|--|---------------|---|-------------------|--|--|---|--|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year)                      | 3. 4. Securiti Transaction(A) or Dis Code (Instr. 3, 4) (Instr. 8) |               |   |                   | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
| Common<br>Stock (1)                  | 11/05/2018                           |  | A  | 20,334<br>(1) | A | \$<br>6.29<br>(2) | 34,660   | D  |   |  |
| Common<br>Stock                      | 11/05/2018                           |  | F  | 7,031         | D | \$ 7.4<br>(3)     | 27,629   | D  |   |  |

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

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### Edgar Filing: Khadder Nicholas - Form 4

### number.

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

| 1. Title of | 2.          | 3. Transaction Date | 3A. Deemed         | 4.         | 5.                  | 6. Date Exerc   | cisable and | 7. Title     | e and       | 8. Price of | 9. Nu  |
|-------------|-------------|---------------------|--------------------|------------|---------------------|-----------------|-------------|--------------|-------------|-------------|--------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | Transacti  | onNumber            | Expiration Date |             | Amour        | nt of       | Derivative  | Deriv  |
| Security    | or Exercise |                     | any                | Code       | of                  | (Month/Day/     | Year)       | Underl       | ying        | Security    | Secui  |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8) | Derivative          | e               |             | Securit      | ties        | (Instr. 5)  | Bene   |
|             | Derivative  |                     |                    |            | Securities Acquired |                 |             | (Instr.      | 3 and 4)    |             | Owne   |
|             | Security    |                     |                    |            |                     |                 |             |              |             |             | Follo  |
|             |             |                     |                    |            | (A) or              |                 |             |              |             |             | Repo   |
|             |             |                     |                    |            | Disposed            |                 |             |              |             |             | Trans  |
|             |             |                     |                    |            | of (D)              |                 |             |              |             |             | (Instr |
|             |             |                     |                    |            | (Instr. 3,          |                 |             |              |             |             |        |
|             |             |                     |                    |            | 4, and 5)           |                 |             |              |             |             |        |
|             |             |                     |                    |            |                     |                 |             |              | Amount      |             |        |
|             |             |                     |                    |            |                     |                 |             |              | Amount      |             |        |
|             |             |                     |                    |            |                     | Date            | Expiration  |              | or<br>Namel |             |        |
|             |             |                     |                    |            |                     | Exercisable     | Date        | Title Number |             |             |        |
|             |             |                     |                    | C 1 W      | (A) (D)             |                 |             |              | of          |             |        |
|             |             |                     |                    | Code V     | (A) (D)             |                 |             |              | Shares      |             |        |

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Khadder Nicholas C/O FLUIDIGM CORPORATION 7000 SHORELINE COURT, SUITE 100 SOUTH SAN FRANCISCO, CA 94080

See Remarks

# **Signatures**

/s/ Nicholas 11/07/2018 Khadder

\*\*Signature of Date
Reporting Person

# **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).
  - Represents a grant of Restricted Stock Units issued pursuant to the Issuer's 2011 Equity Incentive Plan in connection with the Issuer's
- (1) cash retention bonus exchange program. Each Restricted Stock Unit represents the contingent right to receive one share of FLDM common stock upon vesting of the unit. 100% of the Restricted Stock Units vested on November 5, 2018.
- (2) Equal to 85% of the closing price of one share of Issuer's common stock on November 5, 2018.
- (3) Equal to the closing price of one share of Issuer's common stock on November 5, 2018.

### **Remarks:**

Senior Vice President, General Counsel, and Corporate Secretary

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.

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