Varvaro Thomas C Form 4 December 21, 2012

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

if no longer subject to Section 16. Form 4 or Form 5

Check this box

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

obligations may continue. See Instruction

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

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Varvaro Thomas C

(First) (Middle)

10005 MUIRLANDS BLVD., SUITE G

(Street)

(State)

(Zip)

3.

**IRVINE, CA 92618** 

(City)

2. Issuer Name and Ticker or Trading

Symbol

ChromaDex Corp. [CDXC.OB]

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

12/21/2012

4. If Amendment, Date Original

Filed(Month/Day/Year)

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

Issuer

below)

Person

5. Amount of

Securities

Beneficially

Director

Applicable Line)

Officer (give title

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) (Instr. 3)

Execution Date, if Code (Month/Day/Year) (Instr. 8)

TransactionAcquired (A) or Disposed of (D)

(Instr. 3, 4 and 5)

Code V Amount (D) Price

(A)

4. Securities

Owned Following Reported

Transaction(s) (Instr. 3 and 4)

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

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

1. Title of Derivative Security

Conversion or Exercise

3. Transaction Date 3A. Deemed (Month/Day/Year) Execution Date, if any

4. 5. Number of TransactionDerivative Securities Code Acquired (A) or

6. Date Exercisable and **Expiration Date** (Month/Day/Year)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

5. Relationship of Reporting Person(s) to

(Check all applicable)

CFO, TREASURER AND SECRETARY

6. Ownership

Form: Direct

(D) or Indirect Beneficial

6. Individual or Joint/Group Filing(Check

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

(I)

(Instr. 4)

below)

10% Owner

Other (specify

7. Nature of

Ownership

(Instr. 4)

Indirect

Estimated average

burden hours per

7. Title and Underlying (Instr. 3 an

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(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr. 8) Code V	(Instr. 3, 4,		Date Exercisable	Expiration Date	Title
Employee Stock Options (right to buy)	\$ 1.545	12/21/2012		D(1) V	7	645,900	05/20/2011(2)	05/20/2020	Common Stock
Employee Stock Options (right to buy)	\$ 1.545	12/21/2012		D(1) V	I	645,900	05/20/2011(3)	05/20/2020	Common Stock
Employee Stock Options (right to buy)	\$ 1.54	12/21/2012		D(1) V	Į.	95,712	05/10/2012(4)	05/10/2021	Common Stock
Employee Stock Options (right to buy)	\$ 0.945	12/21/2012		A(5) V	/ 863,511		09/15/2013(6)	09/15/2022	Common Stock

## **Reporting Owners**

Reporting Owner Name / Address		Ketationsnips				
	Director	10% Owner	Officer	(	Other	

Officer

CFO, TREASURER AND SECRETARY

Varvaro Thomas C 10005 MUIRLANDS BLVD., SUITE G IRVINE, CA 92618

## **Signatures**

/s/ Thomas 12/21/2012 Varvaro

\*\*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).
- (1) These previously awarded options have been terminated in exchange of new award of options under different terms.
- (2) Options vest 33 1/3% over three years beginning on May 20, 2011.

(3)

Reporting Owners 2

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Options vest 33 1/3% over three years beginning May 20, 2011; provided further that, these options are only exercisable based on the percentage of warrants exercised as of such vesting date that were issued under that certain Subscription Agreement, dated as of April 22, 2010, between the Issuer and the subscribers named therein. Specifically, if 25% to 49.9% of such warrants have been exercised, then 25% of these options are exercisable; if 50% to 74.9% of such warrants have been exercised, then 50% of these options are exercisable; and if 75% or more of such warrants have been exercised, then 100% of these options are exercisable.

- (4) Options vest 25% on May 10, 2012 with the remainder vesting 1/36th per month over three years thereafter.
- (5) These new options are awarded by terminating the previously awarded options under different terms.
- (6) Options vest 33 1/3% on September 15, 2013 with the remainder vesting 1/24th per month over two years thereafter.
- (7) The total includes 1,290,988 options under different terms.

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.