NanoString Technologies Inc Form 4 December 07, 2016

## FORM 4

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

Check this box if no longer subject to Section 16. Form 4 or

# 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

2. Issuer Name and Ticker or Trading

NanoString Technologies Inc

Symbol

1(b).

Form 5

obligations

may continue.

See Instruction

(Print or Type Responses)

**BURNS WAYNE** 

1. Name and Address of Reporting Person \*

|  |   |               | [NSTG]  |  |   |        |                    | (Check an applicable)   |  |   |  |
|--|---|---------------|---|--|---|--------|--------------------|---|--|---|--|
| (Last) (First) (Middle) 530 FAIRVIEW AVENUE N. |   |               | 3. Date of Earliest Transaction (Month/Day/Year) 12/05/2016 |  |   |        |                    | Director 10% Owner Strong Officer (give title Other (specify below) SVP, Operations & Admin   |  |   |  |
|  |   |               |   | 4. If Amendment, Date Original Filed(Month/Day/Year) |   |        |                    | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting |  |   |  |
|  |   |               |   |  |   |        |                    | Person  |  |   |  |
| (City)   | (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |               |   |  |   |        |                    |   | ly Owned   |   |  |
| 1.Title of<br>Security<br>(Instr. 3)           | 2. Transaction E<br>(Month/Day/Ye   | ar) Execution | emed<br>on Date, if<br>/Day/Year)                           | 3.<br>Transaction<br>Code<br>(Instr. 8)              | 4. Securit<br>on(A) or Dis<br>(Instr. 3, 4) | sposed | of (D)             | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4)                      | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
| Common<br>Stock                                | 12/05/2016  |               |   | M  | 11,330                                      | A      | \$<br>12.77        | 71,034  | D  |   |  |
| Common<br>Stock                                | 12/05/2016  |               |   | S <u>(1)</u>   | 11,330                                      | D      | \$<br>22.04<br>(2) | 59,704  | D  |   |  |
| Common<br>Stock                                | 12/06/2016  |               |   | M  | 6,170                                       | A      | \$<br>12.77        | 65,874  | D  |   |  |
| Common<br>Stock                                | 12/06/2016  |               |   | M  | 4,166                                       | A      | \$<br>12.94        | 70,040  | D  |   |  |
| Common<br>Stock                                | 12/06/2016  |               |   | S <u>(1)</u>   | 10,336                                      | D      | \$<br>22.03        | 59,704  | D  |   |  |

**OMB APPROVAL** 

3235-0287

January 31,

2005

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OMB

Number:

Expires:

response...

5. Relationship of Reporting Person(s) to

(Check all applicable)

Issuer

Estimated average

burden hours per

#### Edgar Filing: NanoString Technologies Inc - Form 4

(3)

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

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SEC 1474 (9-02)

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transacti<br>Code<br>(Instr. 8) |     |        | 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<br>Exercisable                                      | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of Shares |
| Stock<br>Option<br>(right to<br>buy)                | \$ 12.77  | 12/05/2016                              |   | M                                     |     | 11,330 | <u>(4)</u>   | 02/09/2025         | Common<br>Stock   | 11,330                              |
| Stock<br>Option<br>(right to<br>buy)                | \$ 12.77  | 12/06/2016                              |   | M                                     |     | 6,170  | <u>(4)</u>   | 02/09/2025         | Common<br>Stock   | 6,170                               |
| Common<br>Stock<br>(right to<br>buy)                | \$ 12.94  | 12/06/2016                              |   | M                                     |     | 4,166  | <u>(5)</u>   | 02/05/2026         | Common<br>Stock   | 4,166                               |

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## **Reporting Owners**

| Reporting Owner Name / Address | Relationships |           |         |       |  |  |  |
|--------------------------------|---------------|-----------|---------|-------|--|--|--|
|                                | Director      | 10% Owner | Officer | Other |  |  |  |

**BURNS WAYNE** 

530 FAIRVIEW AVENUE N. SVP, Operations & Admin

SEATTLE, WA 98109

## **Signatures**

/s/ Shannon Atchison, attorney-in-fact 12/07/2016

\*\*Signature of Reporting Person Date

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## **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) The sales reported by Mr. Burns were effected pursuant to a Rule 10b5-1 trading plan adopted on November 17, 2016.
- The "Amount" and "Price" reported in this Column 4 reflect the aggregate number and weighted-average price, respectively, of shares sold. These shares were sold in multiple transactions at prices ranging from \$22.00 to \$22.18, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the SEC staff, upon request, full information regarding the number of shares sold at each separate price within the range set forth herein.
- The "Amount" and "Price" reported in this Column 4 reflect the aggregate number and weighted-average price, respectively, of shares sold. These shares were sold in multiple transactions at prices ranging from \$22.00 to \$22.11, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the SEC staff, upon request, full information regarding the number of shares sold at each separate price within the range set forth herein.
- (4) 1/48 of the shares subject to such option shall vest on each monthly anniversary of February 9, 2015.
- The shares subject to this option shall vest at a rate of 1/48th of the total number of shares on the one-month anniversary of February 5, 2016 (the "Option Vesting Commencement Date"), and 1/48th of the total number of shares vest each monthly anniversary of the Option Vesting Commencement Date thereafter, for so long as the recipient of the option remains a Service Provider, such that the total number of shares shall be fully vested on the four-year anniversary of the Option Vesting Commencement Date.

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.