

SOLTA MEDICAL INC

Form 3

August 02, 2013

FORM 3UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIESFiled 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 *

Â Ku Mingo

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

07/23/2013

3. Issuer Name and Ticker or Trading Symbol
SOLTA MEDICAL INC [SLTM]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Vice President of Global Sales

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person☐ Form filed by More than One Reporting PersonC/O SOLTA MEDICAL,
INC.,Â 25881 INDUSTRIAL
BLVD.

(Street)

HAYWARD,Â CAÂ 94545

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities Beneficially Owned
(Instr. 4)3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

13,212

D

Â

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

SEC 1473 (7-02)

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and Expiration Date
(Month/Day/Year)3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

4. Conversion or Exercise Price of Derivative

5. Ownership Form of Derivative Security:

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (right to buy)	Â (1)	12/31/2018	Common Stock	20,000	\$ 1.37	D	Â
Employee Stock Option (right to buy)	Â (2)	07/31/2019	Common Stock	2,000	\$ 1.51	D	Â
Employee Stock Option (right to buy)	Â (3)	01/31/2021	Common Stock	3,000	\$ 2.75	D	Â
Employee Stock Option (right to buy)	Â (4)	01/31/2022	Common Stock	2,500	\$ 3	D	Â
Employee Stock Option (right to buy)	Â (5)	12/11/2022	Common Stock	50,000	\$ 2.77	D	Â
Employee Stock Option (right to buy)	Â (6)	01/31/2023	Common Stock	2,500	\$ 2.56	D	Â
Performance Restricted Stock Units	Â (7)	Â (7)	Common Stock	16,000	\$ (7)	D	Â
Restricted Stock Units	Â (8)	Â (8)	Common Stock	20,000	\$ (8)	D	Â
Restricted Stock Units	Â (9)	Â (9)	Common Stock	3,333	\$ (9)	D	Â
Restricted Stock Units	Â (10)	Â (10)	Common Stock	4,833	\$ (10)	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Ku Mingo C/O SOLTA MEDICAL, INC. 25881 INDUSTRIAL BLVD. HAYWARD, CA 94545	Â	Â	Â Vice President of Global Sales	Â

Signatures

/s/ John F. Glenn, attorney
in fact 08/01/2013

__Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 5(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) This option is 100% vested as of December 31, 2012
- (2) This option is 100% vested as of July 31, 2013.

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- (3) This option is 100% vested as of January 1, 2011.
- (4) This option is 100% vested as of January 8, 2012.
- (5) This option vests and becomes exercisable according to the following schedule: 1/48 at the end of each full calendar month from December 31, 2012 through December 31, 2016.
- (6) This option is 100% vested as of January 13, 2013.
- Deemed acquired pursuant to a grant on February 4, 2013 of performance restricted stock units. Each performance restricted stock unit represents a contingent right to receive one (1) share of issuer's common stock. The performance restricted stock units may be earned in annual installments based on the issuer's stock price performance over each of the three calendar years 2013, 2014 and 2015. Upon vesting, shares of the issuer's common stock will be delivered to the reporting person, provided the reporting person continues to provide services to the issuer as of such date.
- (7)
- Deemed acquired pursuant to a grant of restricted stock units. Each restricted stock unit represents a contingent right to receive one (1) share of issuer's common stock. The restricted stock units vest in three annual installments as follows: February 4, 2014, February 4, 2015 and February 4, 2016. Vested shares of the issuer's common stock will be delivered to the reporting person on each such date, provided the reporting person continues to provide services to the issuer as of each such dates.
- (8)
- Deemed acquired pursuant to a grant on February 9, 2011 of restricted stock units. Each restricted stock unit represents a contingent right to receive one (1) share of issuer's common stock. This amount represents the last of 3 annual installments which will be earned on February 9, 2014. Vested shares of the issuer's common stock will be delivered to the reporting person on such date, provided the reporting person continues to provide services to the issuer as of such date.
- (9)
- Deemed acquired pursuant to a grant on April 10, 2012 of restricted stock units. Each restricted stock unit represents a contingent right to receive one (1) share of issuer's common stock. This amount represents the last 2 of 3 annual installments which will be earned on April 30, 2014 and April 30, 2015. Vested shares of the issuer's common stock will be delivered to the reporting person on each such date, provided the reporting person continues to provide services to the issuer as of each such date.
- (10)

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.