Edgar Filing: CASTLIGHT HEALTH, INC. - Form 3

### CASTLIGHT HEALTH, INC. Form 3 March 13, 2014 FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB approval

### INITIAL STATEMENT OF 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 <u>*</u> Kocher Robert			2. Date of Event Requiring Statement (Month/Day/Year)	3. Issuer Name and Ticker or Trading Symbol CASTLIGHT HEALTH, INC. [CSLT]						
(Last) (F	First)	(Middle)	03/13/2014		4. Relationship of Reporting Person(s) to Issuer			5. If Amendment, Date Original Filed(Month/Day/Year)		
C/O VENROCK, 3340 HILLVIEW AVENUE				(Check all applicable)						
(S	treet)					or 10% ( Other ow) (specify belo		6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting		
PALO ALTO,Â	A CAÂ 94	4304						Person Form filed by More than One Reporting Person		
(City) (S	state)	(Zip)	Т	Table I - N	on-Deriva	tive Securiti	es Bei	neficially Owned		
1.Title of Security (Instr. 4)		E		ially Owned Ownership Own						
Reminder: Report on a separate line for each class of securities benefi owned directly or indirectly.		ties benefici	ally	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	e II - Deriv	vative Secur	ities Beneficially	y Owned (e.	g., puts, calls	s, warrants, opt	tions, co	onvertible securities)		

1. Title of Derivative Security	ity 2. Date Exercisable and		3. Title and Amount of		4.	5.	6. Nature of Indirect
(Instr. 4)	Expiration Date (Month/Day/Year)		Securities Underlying Derivative Security		Conversion or Exercise	Ownership Form of Derivative	Beneficial Ownership (Instr. 5)
			(Instr. 4)		Price of		
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I)	

3235-0104

January 31,

2005

0.5

Number:

Expires:

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						(Instr. 5)	
Class A Common Stock	(1)(2)	(1)(2)	Class B Common Stock (2)	40,733	\$ 0 <u>(1)</u> <u>(2)</u>	D	Â
Director Stock Option (right to buy)	( <u>3)</u>	07/21/2021	Class A Common Stock (1) (2)	260,973	\$ 0.84	D	Â

## **Reporting Owners**

<b>Reporting Owner Name / Address</b>	Relationships					
	Director	10% Owner	Officer	Other		
Kocher Robert C/O VENROCK 3340 HILLVIEW AVENUE PALO ALTO, CA 94304	ÂX	Â	Â	Â		
Signatures						

### /s/ Robert 03/13/2014 Kocher 03/13/2014 <u>\*\*</u>Signature of Date Date Person

# **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).

Each share of Class A Common Stock is convertible, at any time at the option of the holder, into one (1) share of Class B Common Stock. In addition, pursuant to the Issuer's Restated Certificate of Incorporation (the "Post-Effective Certificate") that will be effective upon the consummation of the Issuer's initial public offering of its Class B Common Stock (the "IPO"), each share of Class A Common Stock will

(1) Consummation of the issuer's mittal public offering of its class B Common Stock (the 'fr'o'), each share of Class A Common Stock will convert automatically into one (1) share of Class B Common Stock upon any transfer, whether or not for value, that occurs after the closing of the IPO to any transferee who is not a "Permitted Transferee", as defined in the Post-Effective Certificate. The shares of Class A Common Stock have no expiration date.

Pursuant to the Post-Effective Certificate, each share of the Issuer's Class A Common Stock will convert automatically into one (1) share of Class B Common Stock upon the earliest to occur of the following: (a) the first date on which the number of shares of Class A

(2) Common Stock then outstanding falls below twenty percent of the number of shares of Class A Common Stock outstanding as of the closing of the IPO, (b) the ten year anniversary of the closing of the IPO, or (c) a time and date approved in writing by holders of at least a majority of the then-outstanding shares of Class A Common Stock. The shares of Class A Common Stock and Class B Common Stock have no expiration date.

The Option shall become vested in 48 substantially equal installments with the first installment vesting on the last day of July, 2011 and(3) an additional installment vesting on the last day of each of the 47 months thereafter. In each case, the vesting of the Option is subject to Dr. Kocher's continued service on the Issuer's Board of Directors through the respective vesting 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.