

LEVIN JOHN A
Form 4
March 05, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
LEVIN CAPITAL STRATEGIES, L.P.

(Last) (First) (Middle)

595 MADISON AVENUE, 17TH FLOOR

(Street)

NEW YORK, NY 10022

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
FLUIDIGM CORP [FLDM]

3. Date of Earliest Transaction (Month/Day/Year)
03/01/2018

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___X___ 10% Owner
___ Officer (give title below) ___X___ Other (specify below)
Passive Investor

6. Individual or Joint/Group Filing (Check Applicable Line)
___ Form filed by One Reporting Person
X Form filed by More than One Reporting Person

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

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | |
|--|--------------------------------------|--|--------------------------------|---|---|--|---|--|
| | | | | (A) or (D) | Price | | | |
| Common Stock ⁽¹⁾ ₍₂₎ | 03/01/2018 | | P | 100 | A \$ 6.625 ₍₁₀₎ | 10,731,828 | I | By: Managed Accounts of Levin Capital Strategies, L.P. ⁽³⁾ ₍₄₎ |
| Common Stock ⁽¹⁾ ₍₂₎ | 03/01/2018 | | P | 1,600 | A \$ 6.7269 ₍₁₀₎ | 10,733,428 | I | By: Managed Accounts of Levin Capital Strategies, L.P. ⁽³⁾ ₍₄₎ |
| Common Stock ⁽¹⁾ ₍₂₎ | 03/02/2018 | | P | 6,824 | A \$ 6.3735 | 10,740,252 | I | By: Managed Accounts of |

Edgar Filing: LEVIN JOHN A - Form 4

| | | | | | | | | | |
|---------------------------------------|------------|---|---------|---|--------------------------|------------|---|--|--|
| <u>(2)</u> | | | | | <u>(11)</u> | | | | Levin Capital Strategies, L.P. <u>(3) (4)</u> |
| Common Stock <u>(1)</u> <u>(2)</u> | 03/02/2018 | P | 221,174 | A | \$ 6.2392 <u>(12)</u> | 10,961,426 | I | | By: Managed Accounts of Levin Capital Strategies, L.P. <u>(3) (4)</u> |
| Common Stock <u>(1)</u> <u>(2)</u> | 03/02/2018 | P | 13,745 | A | \$ 6.2497 <u>(13)</u> | 10,975,171 | I | | By: Managed Accounts of Levin Capital Strategies, L.P. <u>(3) (4)</u> |
| Common Stock <u>(1)</u> <u>(2)</u> | 03/02/2018 | P | 170 | A | \$ 6.25 | 10,975,341 | I | | By: Managed Accounts of Levin Capital Strategies, L.P. <u>(3) (4)</u> |
| Common Stock <u>(1)</u> <u>(2)</u> | 03/02/2018 | P | 415 | A | \$ 6.25 | 10,975,756 | I | | By: Managed Accounts of Levin Capital Strategies, L.P. <u>(3) (4)</u> |
| Common Stock <u>(1)</u> <u>(2)</u> | 03/02/2018 | P | 6,327 | A | \$ 6.2392 | 89,211 | I | | By: Bi-Directional Disequilibrium Master Fund, Ltd. <u>(6) (14)</u> |
| Common Stock <u>(1)</u> <u>(2)</u> | | | | | | 1,275,129 | I | | By: Transamerica Large Cap Value Fund <u>(5)</u> |
| Common Stock <u>(1)</u> <u>(2)</u> | | | | | | 56,820 | I | | By: Levcap Alternative Fund, L.P. <u>(7)</u> |
| Common Stock <u>(1)</u> <u>(2)</u> | | | | | | 19,818 | I | | By: Safinia Partners, L.P. <u>(8)</u> |
| Common Stock <u>(1)</u> <u>(2)</u> | | | | | | 5,000 | I | | By: Spouse of John A. Levin <u>(9)</u> |

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form

SEC 1474
(9-02)

displays a currently valid OMB control number.

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

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned (Instr. 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|------------------|
| | Director | 10% Owner | Officer | Other |
| LEVIN CAPITAL STRATEGIES, L.P. 595 MADISON AVENUE 17TH FLOOR NEW YORK, NY 10022 | | X | | Passive Investor |
| Levin Capital Strategies GP, LLC 595 MADISON AVENUE 17TH FLOOR NEW YORK, NY 10022 | | X | | Passive Investor |
| Bi-Directional Disequilibrium Master Fund, Ltd. 595 MADISON AVENUE 17TH FLOOR NEW YORK, NY 10022 | | X | | Passive Investor |
| LCS, LLC 595 MADISON AVENUE 17TH FLOOR NEW YORK, NY 10022 | | X | | Passive Investor |
| Levcap Alternative Fund, L.P. 595 MADISON AVENUE 17TH FLOOR NEW YORK, NY 10022 | | X | | Passive Investor |
| LCS Event Partners, LLC 595 MADISON AVENUE | | X | | Passive Investor |

17TH FLOOR
NEW YORK, NY 10022

Safinia Partners, L.P.
595 MADISON AVENUE
17TH FLOOR
NEW YORK, NY 10022

X Passive Investor

LCS L/S, LLC
595 MADISON AVENUE
17TH FLOOR
NEW YORK, NY 10022

X Passive Investor

LEVIN JOHN A
595 MADISON AVENUE
17TH FLOOR
NEW YORK, NY 10020

X Passive Investor

Signatures

| | |
|--|------------|
| Levin Capital Strategies, L.P.; By: /s/ John A. Levin, Chief Executive Officer | 03/05/2018 |
| **Signature of Reporting Person | Date |
| Levin Capital Strategies GP, LLC; By: John A. Levin 2005 GRAT Separation Trust; By: /s/ Elisabeth Levin, Trustee | 03/05/2018 |
| **Signature of Reporting Person | Date |
| Bi-Directional Disequilibrium Master Fund, Ltd.; By: LCS, LLC; By: /s/ John A. Levin, Managing Member | 03/05/2018 |
| **Signature of Reporting Person | Date |
| LCS, LLC; By: /s/ John A. Levin, Managing Member | 03/05/2018 |
| **Signature of Reporting Person | Date |
| Levcap Alternative Fund, L.P.; By: LCS Event Partners, LLC; By: /s/ John A. Levin, Managing Member | 03/05/2018 |
| **Signature of Reporting Person | Date |
| LCS Event Partners, LLC; By: /s/ John A. Levin, Managing Member | 03/05/2018 |
| **Signature of Reporting Person | Date |
| Safinia Partners, L.P.; By: LCS L/S, LLC; By: /s/ John A. Levin, Managing Member | 03/05/2018 |
| **Signature of Reporting Person | Date |
| LCS L/S, LLC; By: /s/ John A. Levin, Managing Member | 03/05/2018 |
| **Signature of Reporting Person | Date |
| /s/ John A. Levin | 03/05/2018 |
| **Signature of Reporting Person | Date |

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) This Form 4 is filed jointly by Levin Capital Strategies, L.P. ("LCS"), Levin Capital Strategies GP, LLC ("LCS GP"), Bi-Directional Disequilibrium Master Fund, Ltd. ("BDD")(formerly known as Levin Capital Trilogy Master Fund, Ltd.), LCS, LLC ("LCSL"), Levcap

Edgar Filing: LEVIN JOHN A - Form 4

Alternative Fund, L.P. ("Levcap"), LCS Event Partners, LLC ("LCSEP"), Safinia Partners, L.P. ("Safinia"), LCS L/S, LLC ("LCSLS"), and John A. Levin (collectively, the "Reporting Persons"). The Reporting Persons are passive investors in the Issuer and are voluntarily filing this Form 4 as a result of acquiring over 20% of the Issuer's outstanding shares of Common Stock. The Reporting Persons have not acquired the shares with a purpose or effect of changing or influencing control of the Issuer.

- (2) Pursuant to Rule 16a-1(a)(4) under the Securities Exchange Act of 1934, as amended (the "Exchange Act"), this filing shall not be construed as an admission that the Reporting Persons are, for purposes of Section 16 of the Exchange Act or otherwise, the beneficial owners of any of the securities reported herein under Section 16 or otherwise. Each of the Reporting Persons specifically disclaims beneficial ownership of the securities reported herein that are not directly owned by such Reporting Person, except to the extent of their pecuniary interest therein.

- (3) Shares held in certain separately managed accounts (the "Managed Accounts"). LCS, as the investment manager to the Managed Accounts, may be deemed to beneficially own such shares. LCS does not have a reportable pecuniary interest under Section 16a-1(a)(2) of the Exchange Act in the shares held in the Managed Accounts, as LCS receives an asset-based management fee for serving as investment manager to the Managed Accounts, except that with respect to 127,460 shares held in the Managed Accounts, LCS receives a performance-based incentive fee. The performance-based incentive fee LCS receives also does not constitute a reportable pecuniary interest under Section 16a-1(a)(2) of the Exchange Act, as such fee is based on the performance of the overall account, over a period of one year or more, and the shares of the Issuer held in such accounts constitute no more than 10% of the market value thereof.

- (4) For the reasons set forth in footnote 3, none of LCS GP, BDD, LCSL, Levcap, LCSEP, Safinia, LCSLS and Mr. Levin have a reportable pecuniary interest in the shares held in the Managed Accounts.

- (5) Shares held by the separate managed account Transamerica Large Cap Value Fund ("Transamerica"). LCS, as the sub-investment advisor to Transamerica, may be deemed to share voting and dispositive power over the shares held by Transamerica. LCS receives an asset-based management fee for serving as sub-investment advisor to Transamerica. Accordingly, LCS does not have a reportable pecuniary interest in the shares held by Transamerica. In addition, none of LCS GP, BDD, LCSL, Levcap, LCSEP, Safinia, LCSLS and Mr. Levin have a reportable pecuniary interest in the shares held by Transamerica.

- (6) Shares owned directly by BDD. LCSL, as the general partner of the domestic feeder fund which owns a controlling interest in BDD, may be deemed to share voting and dispositive power over the shares owned directly by BDD. LCS, as the investment advisor of BDD, may be deemed to share voting and dispositive power over the shares owned directly by BDD. Mr. Levin, as the Chief Executive Officer of LCS, may be deemed to share voting and dispositive power over the shares owned directly by BDD.

- (7) Shares owned directly by Levcap. LCSEP, as the general partner of Levcap, may be deemed to share voting and dispositive power over the shares owned directly by Levcap. LCS, as the investment advisor of Levcap, may be deemed to share voting and dispositive power over the shares owned directly by Levcap. Mr. Levin, as the Chief Executive Officer of LCS, may be deemed to share voting and dispositive power over the shares owned directly by Levcap.

- (8) Shares owned directly by Safinia. LCSLS, as the general partner of Safinia, may be deemed to share voting and dispositive power over the shares owned directly by Safinia. LCS, as the investment advisor of Safinia, may be deemed to share voting and dispositive power over the shares owned directly by Safinia. Mr. Levin, as the Chief Executive Officer of LCS, may be deemed to share voting and dispositive power over the shares owned directly by Safinia.

- (9) Shares owned directly by the spouse of Mr. Levin. Mr. Levin has investment discretion over such shares.

- (10) The price reported is a weighted average price. The reported shares were purchased in multiple transactions at prices ranging from \$6.68 to \$6.75. The Reporting Persons undertake to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the range set forth in this footnote 10.

- (11) The price reported is a weighted average price. The reported shares were purchased in multiple transactions at prices ranging from \$6.3475 to \$6.50. The Reporting Persons undertake to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the range set forth in this footnote 11.

- (12) The price reported is a weighted average price. The reported shares were purchased in multiple transactions at prices ranging from \$6.195 to \$6.26. The Reporting Persons undertake to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the range set forth in this footnote 12.

- (13) The price reported is a weighted average price. The reported shares were purchased in multiple transactions at prices ranging from \$6.24 to \$6.25. The Reporting Persons undertake to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price within the range set forth in this footnote 13.

- (14) Effective February 28, 2018, Levin Capital Trilogy Master Fund, Ltd. changed its name to Bi-Directional Disequilibrium Master Fund, Ltd.

Edgar Filing: LEVIN JOHN A - Form 4

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.