Edgar Filing: PACIFIC BIOSCIENCES OF CALIFORNIA, INC. - Form 4

PACIFIC BIOSCIENCES OF CALIFORNIA, INC.

Form 4 March 16, 2015

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

3235-0287

Expires:

January 31, 2005

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OMB APPROVAL

response...

subject to Section 16. Form 4 or Form 5 obligations

may continue.

See Instruction

Check this box

if no longer

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 * BARNES SUSAN K

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

below)

PACIFIC BIOSCIENCES OF CALIFORNIA, INC. [PACB]

(Check all applicable)

EVP & Chief Financial Officer

3. Date of Earliest Transaction

(Month/Day/Year)

03/16/2015

10% Owner Other (specify X_ Officer (give title

PACIFIC BIOSCIENCES OF CALIFORNIA, INC., 1380

WILLOW ROAD

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Director

Applicable Line)

(Street)

(First)

(Middle)

Filed(Month/Day/Year)

X Form filed by One Reporting Person Form filed by More than One Reporting

MENLO PARK, CA 94025

(City) (State) (Zip)

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

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5)

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial Ownership (Instr. 4) (Instr. 4)

(A)

Reported Transaction(s)

Code V Amount (D) Price

(Instr. 3 and 4)

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form 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)

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Derivative Security (Instr. 3)	Conversion or Exercise Price of Derivative Security	(Month/Day/Year)	Execution Date, if any (Month/Day/Year)	Transac Code (Instr. 8	iorDerivative Securities Acquired (A) of Disposed of (D (Instr. 3, 4, and 5)))	r)	Underlying S (Instr. 3 and	
				Code V	/ (A) (Г	Date Exercisable	Expiration Date	Title	Amour Number Shares
Stock Option (right to	\$ 5.72	03/16/2015		A	250,000	03/16/2015(1)	03/16/2025	Common Stock	250,0

5. Number of

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

BARNES SUSAN K PACIFIC BIOSCIENCES OF CALIFORNIA, INC. 1380 WILLOW ROAD MENLO PARK, CA 94025

EVP & Chief Financial Officer

6. Date Exercisable and

7. Title and Amount

Signatures

1. Title of 2.

buy)

/s/ Brian Dow, Attorney-in-fact for Susan K.
Barnes
03/16/2015

**Signature of Reporting Person Date

3. Transaction Date 3A. Deemed

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) 1/48th of the shares subject to the option are immediately vested, and 1/48th of the shares will vest on the 15th day of each subsequent month over the next four years, provided that the Reporting Person continues to serve through each 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.

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