

RUIZ THOMAS MARK

Form 3

February 20, 2019

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

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**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 *

RUIZ THOMAS MARK

(Last) (First) (Middle)

31700 RESEARCH PARK
DRIVE

(Street)

MADISON
HEIGHTS, MI 48071

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

02/12/2019

3. Issuer Name and Ticker or Trading Symbol
InfuSystem Holdings, Inc [INFU]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)VP OF SALES AND
MARKETING6. Individual or Joint/Group
Filing(Check Applicable Line)
☒ Form filed by One Reporting
Person
☐ Form filed by More than One
Reporting Person**Table I - Non-Derivative Securities Beneficially Owned**1. 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

5,337

D

A

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)

Date Exercisable Expiration Date

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title

4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)6. Nature of
Indirect Beneficial
Ownership
(Instr. 5)

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				Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	07/31/2017	12/08/2024	Common Stock	50,000	\$ 2.69	D	Â
Stock Option (Right to Buy)	Â <u>(1)</u>	08/18/2026	Common Stock	40,000	\$ 2.76	D	Â
Stock Option (Right to Buy)	Â <u>(2)</u>	03/15/2027	Common Stock	25,000	\$ 2.15	D	Â
Stock Option (Right to Buy)	Â <u>(3)</u>	09/06/2022	Common Stock	25,000	\$ 1.98	D	Â
Stock Option (Right to Buy)	Â <u>(4)</u>	07/19/2023	Common Stock	25,000	\$ 3.36	D	Â
Restricted Stock Units	03/11/2019 ⁽⁶⁾	03/12/2019 ⁽⁶⁾	Common Stock	2,083	\$ <u>(5)</u>	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
RUIZ THOMAS MARK 31700 RESEARCH PARK DRIVE MADISON HEIGHTS,Â MIÂ 48071	Â	Â	Â	VP OF SALES AND MARKETING	Â

Signatures

/s/ Thomas M. Ruiz 02/20/2019

 **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) The option, representing the right to purchase a total of 40,000 shares, became exercisable in 36 equal monthly installments following the August 18, 2016 date of grant.
- (2) The option, representing the right to purchase a total of 25,000 shares, became exercisable in 36 equal monthly installments following the March 16, 2017 date of grant.
- (3) Stock option vests 33% per year on anniversary date starting September 7, 2018
- (4) Stock option vests 33% per year on anniversary date starting July 19, 2019
- (5) Restricted stock units convert into common stock on a one-for-one basis.
- The reporting person was awarded restricted stock units on March 11, 2015, which vest in one remaining annual installment on March
- (6) 11th of 2019. Settlement of the underlying shares of common stock will occur on vesting date, assuming continued employment through the applicable 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.