

JOG VIKRAM  
Form 4/A  
April 03, 2018

**FORM 4**

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

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

**OMB APPROVAL**

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**JOG VIKRAM**

(Last) (First) (Middle)

**C/O FLUIDIGM  
CORPORATION, 7000  
SHORELINE COURT, SUITE 100**

(Street)

**SOUTH SAN  
FRANCISCO, CA 94080**

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol

**FLUIDIGM CORP [FLDM]**

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

**09/20/2017**

4. If Amendment, Date Original  
Filed(Month/Day/Year)  
**09/22/2017**

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
☒ Officer (give title below) \_\_\_\_ Other (specify below)

**CHIEF FINANCIAL OFFICER**

6. 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 Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
|                                       |                                         |                                                             |                                         | (A)<br>or<br>(D)                                                           |                                                                                                                    |                                                                      |                                                                   |
|                                       |                                         |                                                             | Code                                    | V                                                                          | Amount                                                                                                             |                                                                      | Price                                                             |

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  
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SEC 1474  
(9-02)

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

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| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |        | 7. Title and Amount<br>Underlying Securities<br>(Instr. 3 and 4) |                    |                 |                                     |
|-----------------------------------------------------|-----------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|--------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|--------|------------------------------------------------------------------|--------------------|-----------------|-------------------------------------|
|                                                     |                                                                       |                                         |                                                             | Code                                    | V                                                                                                      | (A)                                                            | (D)    | Date<br>Exercisable                                              | Expiration<br>Date | Title           | Amount<br>or<br>Number<br>of Shares |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 14.6                                                               | 09/20/2017                              |                                                             | D                                       |                                                                                                        |                                                                | 3,334  | <u>(1)</u>                                                       | 05/17/2021         | Common<br>Stock | 3,334                               |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 5.13                                                               | 09/20/2017                              |                                                             | A                                       |                                                                                                        | 967                                                            |        | <u>(3)</u>                                                       | 09/20/2027         | Common<br>Stock | 967                                 |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 15.49                                                              | 09/20/2017                              |                                                             | D                                       |                                                                                                        |                                                                | 12,501 | <u>(4)</u>                                                       | 02/16/2022         | Common<br>Stock | 12,501                              |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 5.13                                                               | 09/20/2017                              |                                                             | A                                       |                                                                                                        | 3,444                                                          |        | <u>(3)</u>                                                       | <u>(6)</u>         | Common<br>Stock | 3,444                               |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 16.73                                                              | 09/20/2017                              |                                                             | D                                       |                                                                                                        |                                                                | 24,452 | <u>(7)</u>                                                       | 02/15/2023         | Common<br>Stock | 24,452                              |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 5.13                                                               | 09/20/2017                              |                                                             | A                                       |                                                                                                        | 6,609                                                          |        | <u>(3)</u>                                                       | <u>(6)</u>         | Common<br>Stock | 6,609                               |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 47.55                                                              | 09/20/2017                              |                                                             | D                                       |                                                                                                        |                                                                | 14,000 | <u>(9)</u>                                                       | 03/14/2024         | Common<br>Stock | 14,000                              |
| Employee<br>Stock<br>Option                         | \$ 5.13                                                               | 09/20/2017                              |                                                             | A                                       |                                                                                                        | 1,541                                                          |        | <u>(3)</u>                                                       | <u>(6)</u>         | Common<br>Stock | 1,541                               |

(Right to  
Buy)Employee  
Stock

|                             |          |            |   |        |             |            |                 |        |
|-----------------------------|----------|------------|---|--------|-------------|------------|-----------------|--------|
| Option<br>(Right to<br>Buy) | \$ 41.14 | 09/20/2017 | D | 12,000 | <u>(11)</u> | 03/12/2025 | Common<br>Stock | 12,000 |
|-----------------------------|----------|------------|---|--------|-------------|------------|-----------------|--------|

Employee  
Stock

|                             |         |            |   |       |            |            |                 |       |
|-----------------------------|---------|------------|---|-------|------------|------------|-----------------|-------|
| Option<br>(Right to<br>Buy) | \$ 5.13 | 09/20/2017 | A | 2,073 | <u>(3)</u> | <u>(6)</u> | Common<br>Stock | 2,073 |
|-----------------------------|---------|------------|---|-------|------------|------------|-----------------|-------|

Employee  
Stock

|                             |        |            |   |        |             |            |                 |        |
|-----------------------------|--------|------------|---|--------|-------------|------------|-----------------|--------|
| Option<br>(Right to<br>Buy) | \$ 7.1 | 09/20/2017 | D | 13,500 | <u>(13)</u> | 03/04/2026 | Common<br>Stock | 13,500 |
|-----------------------------|--------|------------|---|--------|-------------|------------|-----------------|--------|

Employee  
Stock

|                             |         |            |   |       |            |            |                 |       |
|-----------------------------|---------|------------|---|-------|------------|------------|-----------------|-------|
| Option<br>(Right to<br>Buy) | \$ 5.13 | 09/20/2017 | A | 8,941 | <u>(3)</u> | <u>(6)</u> | Common<br>Stock | 8,941 |
|-----------------------------|---------|------------|---|-------|------------|------------|-----------------|-------|

Employee  
Stock

|                             |        |            |   |       |             |            |                 |       |
|-----------------------------|--------|------------|---|-------|-------------|------------|-----------------|-------|
| Option<br>(Right to<br>Buy) | \$ 7.1 | 09/20/2017 | D | 6,750 | <u>(13)</u> | 03/04/2026 | Common<br>Stock | 6,750 |
|-----------------------------|--------|------------|---|-------|-------------|------------|-----------------|-------|

Employee  
Stock

|                             |         |            |   |       |            |            |                 |       |
|-----------------------------|---------|------------|---|-------|------------|------------|-----------------|-------|
| Option<br>(Right to<br>Buy) | \$ 5.13 | 09/20/2017 | A | 4,471 | <u>(3)</u> | <u>(6)</u> | Common<br>Stock | 4,471 |
|-----------------------------|---------|------------|---|-------|------------|------------|-----------------|-------|

## Reporting Owners

| Reporting Owner Name / Address                                                                             | Relationships |           |                               |       |
|------------------------------------------------------------------------------------------------------------|---------------|-----------|-------------------------------|-------|
|                                                                                                            | Director      | 10% Owner | Officer                       | Other |
| JOG VIKRAM<br>C/O FLUIDIGM CORPORATION<br>7000 SHORELINE COURT, SUITE 100<br>SOUTH SAN FRANCISCO, CA 94080 |               |           | CHIEF<br>FINANCIAL<br>OFFICER |       |

## Signatures

/s/ Vikram Jog by Nicholas Khadder,  
Attorney-in-Fact

04/03/2018

\*\*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) The shares subject to the Option fully vested on May 18, 2015.

(2) On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 3,334 shares of FLDM common stock granted to the Reporting Person on May 18, 2011. In exchange, the Reporting Person received a replacement Option, for 967 shares, having an exercise price of \$5.13 per share.

(3) 1/12th of the total number of shares underlying the Option will vest on February 20, 2018, and 1/12th of the total number of shares underlying the Option granted will vest every three months thereafter until fully vested, subject to recipient's continued status as a Service Provider as defined in the Company's 2011 Equity Incentive Plan through the applicable vest date.

(4) The shares subject to the Option fully vested on January 1, 2016.

(5) On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 12,501 shares of FLDM common stock granted to the Reporting Person on February 17, 2012. In exchange, the Reporting Person received a replacement Option, for 3,444 shares, having an exercise price of \$5.13 per share.

(6) The Option expiration date is September 20, 2027.

(7) The shares subject to the Option fully vested on January 1, 2017.

(8) On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 24,452 shares of FLDM common stock granted to the Reporting Person on February 15, 2013. In exchange, the Reporting Person received a replacement Option, for 6,609 shares, having an exercise price of \$5.13 per share.

(9) The Option provided for vesting in forty-eight equal monthly installments beginning January 1, 2014.

(10) On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 14,000 shares of FLDM common stock granted to the Reporting Person on March 14, 2014. In exchange, the Reporting Person received a replacement Option, for 1,541 shares, having an exercise price of \$5.13 per share.

(11) The Option provided for vesting of 2/48th of the shares subject to the Option on March 12, 2015 and forty-six equal monthly installments beginning on April 1, 2015.

(12) On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 12,000 shares of FLDM common stock granted to the Reporting Person on March 12, 2015. In exchange, the Reporting Person received a replacement Option, for 2,073 shares, having an exercise price of \$5.13 per share.

(13) The Option provided for vesting in forty-eight equal monthly installments beginning February 1, 2016.

(14) On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 13,500 shares of FLDM common stock granted to the Reporting Person on March 4, 2016. In exchange, the Reporting Person received a replacement Option, for 8,941 shares, having an exercise price of \$5.13 per share.

(15) On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 6,750 shares of FLDM common stock granted to the Reporting Person on March 4, 2016. In exchange, the Reporting Person received a replacement Option, for 4,471 shares, having an exercise price of \$5.13 per share.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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