Northcutt Trent Form 3 June 05, 2006

# FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

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 \*

**Â** Northcutt Trent

(Last)

(First)

(Middle)

(Month/Day/Year)

06/02/2006

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Alphatec Holdings, Inc. [ATEC]

C/O ALPHATEC HOLDINGS. INC., Â 2051 PALOMAR

AIRPORT ROAD

(Street)

Statement

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

(Check all applicable)

VP, Sales

Director \_X\_ Officer

10% Owner Other (give title below) (specify below)

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

CARLSBAD. CAÂ 92011

(City) (State)

1. Title of Security (Instr. 4)

(Zip)

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial

Ownership Form: (Instr. 5)

Â

Direct (D) or Indirect (I)

(Instr. 5) D

Series A-1 Preferred Stock 26,000

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)

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

4. Conversion or Exercise Price of Derivative

6. Nature of Indirect 5. Ownership Beneficial Form of Ownership

(Instr. 5)

Derivative Security:

1

#### Edgar Filing: Northcutt Trent - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Series A-1 Common Stock	(1)	(2)	Common Stock	23,449 (3)	\$ <u>(2)</u>	D	Â
Employee Stock Option (Right to buy)	01/06/2007(4)	01/06/2016	Series A-1 Common Stock (5)	3,000 (5)	\$ 17 <u>(5)</u>	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships				
1	Director	10% Owner	Officer	Other	
Northcutt Trent					
C/O ALPHATEC HOLDINGS, INC.	Â	â	VP, Sales	â	
2051 PALOMAR AIRPORT ROAD	А	A	A VP, Sales	Α	
CARLSBAD, CA 92011					

## **Signatures**

/s/ Daren Graham, Esq., attorney in fact 06/02/2006

\*\*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) Series A-1 Common Stock is mandatorily convertible into common stock immediately prior to the closing of an IPO, a Qualified IPO, a Deemed Liquidation Event or the Put, each as defined in the Issuer's Amended and Restated Certificate of Incorporation.
- (2) There is no expiration date. The Series A-1 Common Stock converts into common stock on a 3.57-for-1 basis effective upon the closing of the Issuer's initial public offering.
- (3) Of these 23,449 shares, 12,000 shares are subject to a 5-year lapsing repurchase right of the Issuer, which will lapse in five equal annual installments on the anniversary of the grant date.
- (4) The option was granted on 1/6/06. The option vests over five years, with 1/5th of the option vesting on each anniversary of the grant date.
  - Upon the closing of the Issuer's initial public offering, the shares of Series A-1 Common Stock underlying the option will automatically
- (5) be converted into common stock on a 3.57-for-1 basis and the exercise price of the option will be automatically adjusted to reflect such conversion.

Â

#### **Remarks:**

### Exhibit 24 - Power of Attorney

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.

Reporting Owners 2