Alphatec Holdings, Inc.

Form 4 June 25, 2013

## 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

0.5

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response...

if no longer subject to Section 16. Form 4 or Form 5

obligations

Check this box

may continue. See Instruction

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)

(City)

(Instr. 3)

Security

(Print or Type Responses)

1. Name and Address of Reporting Person \* O'Neill Michael

(First)

INC., 5818 EL CAMINO REAL

(Middle)

(Zip)

2. Issuer Name and Ticker or Trading Symbol

Alphatec Holdings, Inc. [ATEC]

3. Date of Earliest Transaction

06/21/2013

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Month/Day/Year)

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

CFO and Vice President

(Street) 4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ 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

CARLSBAD, CA 92075

C/O ALPHATEC SPINE,

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year)

or Exercise

(State)

Execution Date, if

(Month/Day/Year)

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

5. Amount of Securities Beneficially Owned Following

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

Reported Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

(A)

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

any

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.

(Month/Day/Year)

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

Code

Securities

1. Title of 3. Transaction Date 3A. Deemed 4. 5. Number of 6. Date Exercisable and Derivative Conversion (Month/Day/Year) Execution Date, if **Transaction**Derivative **Expiration Date** 

7. Title and Amoun

Underlying Securiti

(Instr. 3 and 4)

#### Edgar Filing: Alphatec Holdings, Inc. - Form 4

| (Instr. 3)                   | Price of<br>Derivative<br>Security |            | (Month/Day/Year) | (Instr. 8) | Acquired (A Disposed o (Instr. 3, 4, 5) | f (D) |                  |                    |                 |                       |
|------------------------------|------------------------------------|------------|------------------|------------|---|-------|------------------|--------------------|-----------------|-----------------------|
|                              |                                    |            |                  | Code V     | (A)                                     | (D)   | Date Exercisable | Expiration<br>Date | Title           | Amou<br>Numl<br>Share |
| Incentive<br>Stock<br>option | \$ 2.23                            | 06/21/2013 |                  | A          | 100,000                                 |       | 07/11/2013(5)    | 10/11/2020         | Common<br>Stock | 100,                  |
| Incentive<br>Stock<br>Option | \$ 1.72                            |            |                  |            |   |       | 01/04/2014(4)    | 01/04/2023         | Common<br>Stock | 125,                  |
| NQ Stock<br>Option           | \$ 2.05                            |            |                  |            |   |       | 12/19/2013(3)    | 12/19/2019         | Common<br>Stock | 25,<br><u>(</u> 2     |
| Incentive<br>Stock<br>Option | \$ 2.23                            |            |                  |            |   |       | 10/11/2011       | 10/11/2020         | Common<br>Stock | 100,                  |

# **Reporting Owners**

| Reporting Owner Name / Address | Relationships |
|--------------------------------|---------------|
| reporting owner rame, reduces  |               |

Director 10% Owner Officer Other

O'Neill Michael

C/O ALPHATEC SPINE, INC. 5818 EL CAMINO REAL

CFO and Vice President

## **Signatures**

/s/ Ebun S. Garner, Esq., Attorney-in-fact

CARLSBAD, CA 92075

06/25/2013

\*\*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) Exercise price per share.
- (2) This option grant was made after the holder agreed to forfeit 25,000 options granted to him on August 1, 2011. This transaction is described in greater detail in a Schedule TO that the issuer filed with the SEC on December 19, 2012.
- (3) The shares vest over three years with one third vesting on the first anniversary of the date of issuance, and the remaining two thirds vesting in eight tranches each three months thereafter.
- (4) The options vest over four years with 25% vesting on the anniversary of the grant date and the remaining 75% vesting in 12 tranches every three months thereafter.
- (5) 62.5% of the options are vested on the date of grant. An additional 6.25% vests on July 11, 2013 and each three months thereafter.

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