

Alphatec Holdings, Inc.

Form 3

November 09, 2016

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 *Â Nelson Dennis
(Last) (First) (Middle)C/O ALPHATEC HOLDINGS,
INC.,Â 5818 EL CAMINO
REAL

(Street)

CARLSBAD,Â CAÂ 92008

(City) (State) (Zip)

2. Date of Event Requiring
Statement(Month/Day/Year)
10/05/20163. Issuer Name **and** Ticker or Trading Symbol
Alphatec Holdings, Inc. [ATEC]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, Finance and Controller6. 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

556

D Â

Restricted Common Stock ⁽¹⁾

941

D Â

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 Security4. Conversion
or Exercise5. Ownership
Form of6. Nature of
Indirect Beneficial
Ownership

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	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	(Instr. 5)
Non-qualified Stock Option	12/19/2013 ⁽²⁾	12/19/2022	Common Stock	2,500	\$ 24.6	D	Â
Incentive Stock Option	01/04/2014 ⁽²⁾	01/04/2023	Common Sock	6,250	\$ 20.64	D	Â
Incentive Stock Option	08/08/2014 ⁽²⁾	08/08/2023	Common Stock	2,500	\$ 24.48	D	Â
Incentive Stock Option	07/30/2015 ⁽²⁾	07/30/2024	Common Stock	3,750	\$ 17.04	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Nelson Dennis C/O ALPHATEC HOLDINGS, INC. 5818 EL CAMINO REAL CARLSBAD, CA 92008	Â	Â	Â VP, Finance and Controller	Â

Signatures

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

11/09/2016

__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) 833 of such shares of restricted common stock only vests upon a change of control of the company. 8 shares of such restricted common stock is fully vested.
- (2) The options vest over four years with 25% vesting on the anniversary of the grant date and the remaining 75% vesting in equal installments every three months for the three years thereafter.

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.