

Alphatec Holdings, Inc.
Form 3
May 08, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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 CORBETT JAMES

(Last) (First) (Middle)

C/O ALPHATEC SPINE,Â 5818
EL CAMINO REAL

(Street)

CARLSBAD,Â CAÂ 92008

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

05/01/2014

3. Issuer Name and Ticker or Trading Symbol
Alphatec Holdings, Inc. [ATEC]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

☒ Director ☐ 10% Owner

☒ Officer ☐ Other
(give title below) (specify below)

President and CEO

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 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)

Restricted Common Stock ⁽¹⁾

250,000

D Â

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

SEC 1473 (7-02)

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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

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

Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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		Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Incentive Stock Options	05/01/2015 ⁽²⁾	05/01/2024	Common Stock	250,000	\$ 1.36	D	Â
Incentive Stock Options	05/01/2015 ⁽³⁾	05/01/2024	Common Stock	250,000	\$ 1.36	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
CORBETT JAMES C/O ALPHATEC SPINE 5818 EL CAMINO REAL CARLSBAD, CA 92008	Â X	Â	Â President and CEO	Â

Signatures

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

05/08/2014

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).

- The shares vest over four years, with 25% of such shares vesting on each anniversary of the grant date, provided that the total shareholder return for a \$100 investment in the Company's common stock that was invested one year prior to the applicable vesting date is no less than the median total shareholder return over such period of \$100 invested in the Company's executive compensation peer group, as determined by the Board in its sole discretion (the "Performance Criteria").
- (1) The options vest over four years, with 25% of such options vesting on the first anniversary of the grant date and the remaining 75% of such options vesting in 12 tranches each three month period thereafter.
 - (2) The options vest over four years, with 25% vesting on each anniversary of the grant date, but only if the Performance Criteria is met.
 - (3) The options vest over four years, with 25% vesting on each anniversary of the grant date, but only if the Performance Criteria is met.

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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