

PACIFIC BIOSCIENCES OF CALIFORNIA, INC.

Form 4

January 26, 2016

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Shapiro Lucy

2. Issuer Name and Ticker or Trading
Symbol
PACIFIC BIOSCIENCES OF
CALIFORNIA, INC. [PACB]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction
(Month/Day/Year)
01/22/2016

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

PACIFIC BIOSCIENCES OF
CALIFORNIA, INC., 1380
WILLOW ROAD

(Street)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

MENLO PARK, CA 94025

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	01/22/2016		M		35,000	A	\$ 1.93
Common Stock	01/22/2016		M		25,000	A	\$ 2.54
Common Stock	01/22/2016		M		25,000	A	\$ 4.45
Common Stock	01/22/2016		M		16,666	A	\$ 5.79

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

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(9-02)

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (right to buy)	\$ 1.93	01/22/2016		M		35,000		<u>(1)</u>	09/12/2022	Common Stock	35,000
Stock Option (right to buy)	\$ 2.54	01/22/2016		M		25,000		<u>(1)</u>	05/21/2023	Common Stock	25,000
Stock Option (right to buy)	\$ 4.45	01/22/2016		M		25,000		<u>(1)</u>	05/22/2024	Common Stock	25,000
Stock Option (right to buy)	\$ 5.79	01/22/2016		M		16,666		06/20/2015 ⁽²⁾	05/20/2025	Common Stock	16,666

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
Shapiro Lucy PACIFIC BIOSCIENCES OF CALIFORNIA, INC. 1380 WILLOW ROAD MENLO PARK, CA 94025	X

Signatures

Susan K. Barnes, Attorney-in-fact for Lucy
Shapiro

01/26/2016

__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 were fully vested and exercisable.
- (2) The shares subject to the option will vest in equal monthly installments over a one year period.

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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