Invitae Corp Form 4 September 20, 2016

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB

3235-0287 Number: January 31, Expires:

2005

0.5

Estimated average

burden hours per response...

if no longer subject to Section 16. Form 4 or

Check this box

Form 5 obligations 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

2. Issuer Name and Ticker or Trading

1(b).

(Last)

(City)

(Print or Type Responses)

1. Name and Address of Reporting Person \* **Dumond Patty** 

Symbol

Invitae Corp [NVTA]

(Month/Day/Year)

C/O INVITAE CORPORATION, 458 BRANNAN **STREET** 

(First)

(Middle)

(Zip)

3. Date of Earliest Transaction

09/16/2016

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

VP Fin. & Principal Acct. Off.

(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

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

SAN FRANCISCO, CA 94107

(State)

|            |                     | Tuble 1 1101 2 511 unité décurrité siréquireu, 2 15 posétu 62, 01 2 610 indu |                   |                     |         |           |                  |              |              |
|------------|---------------------|--|-------------------|---------------------|---------|-----------|------------------|--------------|--------------|
| 1.Title of | 2. Transaction Date | 2A. Deemed   | 3.                | 4. Secur            | ities A | cquired   | 5. Amount of     | 6. Ownership | 7. Nature of |
| Security   | (Month/Day/Year)    | Execution Date, if   | Transactio        | n(A) or Disposed of |         |           | Securities       | Form: Direct | Indirect     |
| (Instr. 3) |                     | any  | Code              | (D)                 |         |           | Beneficially     | (D) or       | Beneficial   |
|            |                     | (Month/Day/Year)   | (Instr. 8)        | (Instr. 3, 4 and 5) |         |           | Owned            | Indirect (I) | Ownership    |
|            |                     | •  |                   |                     |         | Following | (Instr. 4)       | (Instr. 4)   |              |
|            |                     |  |                   |                     | (4)     |           | Reported         |              |              |
|            |                     |  |                   |                     | (A)     |           | Transaction(s)   |              |              |
|            |                     |  | G 1 17            |                     | or      | ъ.        | (Instr. 3 and 4) |              |              |
|            |                     |  | Code V            | Amount              | (D)     | Price     |                  |              |              |
| Common     | 09/16/2016          |  | $M_{(1)}^{(1)}$   | 1,000               | A       | \$        | 9,812            | D            |              |
| Stock      | 09/10/2010          |  | IVI <u>&lt; /</u> | 1,000               | А       | 3.42      | 9,012            | D            |              |
|            |                     |  |                   |                     |         |           |                  |              |              |
| Common     | 09/16/2016          |  | S <sup>(1)</sup>  | 1,000               | D       | \$8       | 8.812            | D            |              |
| Stock      | 03/10/2010          |  | 3 <u>~</u>        | 1,000               | ט       | φο        | 0,012            | D            |              |

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

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.

#### Edgar Filing: Invitae Corp - Form 4

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | Code         | Transaction Derivative Code Securities |                     | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                 | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |  |
|---|---|--------------------------------------|---|--------------|--|---------------------|--|-----------------|---|--|
|   |   |                                      |   | Code V       | (A) (D)                                | Date<br>Exercisable | Expiration<br>Date                                       | Title           | Amount<br>or<br>Number<br>of<br>Shares                              |  |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 3.42   | 09/16/2016                           |   | M <u>(1)</u> | 1,000                                  | (2)                 | 02/28/2024   | Common<br>Stock | 1,000   |  |

# **Reporting Owners**

Director 10% Owner Officer Other

Dumond Patty C/O INVITAE CORPORATION 458 BRANNAN STREET SAN FRANCISCO, CA 94107

VP Fin. & Principal Acct. Off.

## **Signatures**

Reporting Person

/s/ Patty
Dumond

\*\*Signature of
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) This transaction was effected pursuant to a Rule 10b 5-1 trading plan previously adopted by the reporting person.
- (2) The option became exercisable as to 25% of the shares on February 28, 2015, and becomes exercisable as to 1/48th of the shares each full month 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.

Reporting Owners 2