Snider Brian Form 4 March 12, 2018

# FORM 4

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

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)

(Last)

(City)

1. Title of

Security

(Instr. 3)

1. Name and Address of Reporting Person \* Snider Brian

> (First) (Middle)

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

(Street)

(State)

(Month/Day/Year)

CARLBAD, CA 92008

2. Transaction Date 2A. Deemed

(Zip)

2. Issuer Name and Ticker or Trading Symbol

Alphatec Holdings, Inc. [ATEC]

3. Date of Earliest Transaction (Month/Day/Year) 03/08/2018

4. If Amendment, Date Original

Filed(Month/Day/Year)

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

4. Securities

Execution Date, if TransactionAcquired (A) or Code (Month/Day/Year) (Instr. 8)

3.

Disposed of (D)

(Instr. 3, 4 and 5)

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

Code V Amount (D) Price

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

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

1. Title of

Derivative Conversion Security or Exercise

3. Transaction Date 3A. Deemed (Month/Day/Year) Execution Date, if any

5. Number of 4. TransactionDerivative Securities Code

6. Date Exercisable and **Expiration Date** (Month/Day/Year)

7. Title and Amount of 8 **Underlying Securities** (Instr. 3 and 4)

**OMB APPROVAL** 

**OMB** 3235-0287 Number:

January 31, Expires: 2005

Estimated average burden hours per response...

5. Relationship of Reporting Person(s) to

(Check all applicable)

EVP, Strat. Mktg. & Prod. Dev.

6. Ownership

Form: Direct

(D) or Indirect Beneficial

6. Individual or Joint/Group Filing(Check

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

(I)

(Instr. 4)

Issuer

below)

Person

5. Amount of

Securities

Owned

Beneficially

Director

Applicable Line)

X\_ Officer (give title

0.5

10% Owner

Other (specify

7. Nature of

Ownership

(Instr. 4)

SEC 1474

(9-02)

Indirect

#### Edgar Filing: Snider Brian - Form 4

| (Instr. 3)                                    | Price of<br>Derivative<br>Security |            | (Month/Day/Year) | (Instr. | 8) | Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) |     |                     |                    |                 |                                     | ( |
|---|------------------------------------|------------|------------------|---------|----|--|-----|---------------------|--------------------|-----------------|-------------------------------------|---|
|   |                                    |            |                  | Code    | V  | (A)  | (D) | Date<br>Exercisable | Expiration<br>Date | Title           | Amount<br>or<br>Number<br>of Shares |   |
| Series B<br>Convertible<br>Preferred<br>Stock | <u>(1)</u>                         | 03/08/2018 |                  | A       |    | 100  |     | <u>(1)</u>          | <u>(1)</u>         | Common<br>Stock | 31,747                              |   |
| Warrants (right to buy)                       | \$ 3.5                             | 03/08/2018 |                  | A       |    | 26,985   |     | (2)                 | (2)                | Common<br>Stock | 26,985                              |   |

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Snider Brian C/O ALPHATEC SPINE, INC. 5818 EL CAMINO REAL CARLBAD, CA 92008

EVP, Strat. Mktg. & Prod. Dev.

### **Signatures**

Reporting Person

/s/ Brian R.
Snider

\*\*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) Each share of Series B Convertible Preferred Stock has no expiration date and is convertible into 317.4603 shares of the issuer's common stock following the date that stockholder approval is obtained.
- (2) Each Warrant is exercisable for 1 share of the issuer's common stock for a period of five years following the date that stockholder approval is obtained.

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.

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