Alphatec Holdings, Inc.

Form 4 June 25, 2013

## 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 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(b).

(Last)

1. Name and Address of Reporting Person \* O'Neill Michael

> (First) (Middle)

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

CARLSBAD, CA 92075

(Street)

2. Issuer Name and Ticker or Trading Symbol

Alphatec Holdings, Inc. [ATEC]

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

06/21/2013

4. If Amendment, Date Original

Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

**OMB** 

Number:

Expires:

response...

Estimated average

burden hours per

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

(Check all applicable)

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

below) CFO and Vice President

6. Individual or Joint/Group Filing(Check

Applicable Line)

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

Person

below)

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities Form: Direct Indirect (Instr. 3) Code Disposed of (D) Beneficially (D) or Indirect Beneficial (Instr. 3, 4 and 5) Ownership (Month/Day/Year) (Instr. 8) Owned (I) Following (Instr. 4) (Instr. 4)

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 3. Transaction Date 3A. Deemed 4. 5. Number of 6. Date Exercisable and 7. Title and Amoun Derivative Conversion (Month/Day/Year) Execution Date, if **Transaction**Derivative **Expiration Date** Underlying Securiti Security or Exercise any Code Securities (Month/Day/Year) (Instr. 3 and 4)

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(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr.	8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)					
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amou Numb Share
Incentive Stock option	\$ 2.23	06/21/2013		A		100,000		07/11/2013(5)	10/11/2020	Common Stock	100,
Incentive Stock Option	\$ 1.72							01/04/2014(4)	01/04/2023	Common Stock	125,
NQ Stock Option	\$ 2.05							12/19/2013(3)	12/19/2019	Common Stock	25, <u>(</u> 2
Incentive Stock Option	\$ 2.23							10/11/2011	10/11/2020	Common Stock	100,

## **Reporting Owners**

Reporting Owner Name / Address		Relationships				
	Director	10% Owner	Officer	Other		

O'Neill Michael

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

CFO and Vice President

# **Signatures**

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

CARLSBAD, CA 92075

06/25/2013

\*\*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) Exercise price per share.
- (2) This option grant was made after the holder agreed to forfeit 25,000 options granted to him on August 1, 2011. This transaction is described in greater detail in a Schedule TO that the issuer filed with the SEC on December 19, 2012.
- (3) The shares vest over three years with one third vesting on the first anniversary of the date of issuance, and the remaining two thirds vesting in eight tranches each three months thereafter.
- (4) The options vest over four years with 25% vesting on the anniversary of the grant date and the remaining 75% vesting in 12 tranches every three months thereafter.
- (5) 62.5% of the options are vested on the date of grant. An additional 6.25% vests on July 11, 2013 and each three months 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.

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