

Paul David C
Form 4
September 26, 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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
Paul David C

(Last) (First) (Middle)

VALLEY FORGE BUSINESS
CENTER, 2560 GENERAL
ARMISTEAD AVENUE

(Street)

AUDUBON, PA 19403

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

GLOBUS MEDICAL INC [GMED]

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

09/24/2018

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

Executive Chairman

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 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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Class A Common Stock	09/24/2018		S ⁽¹⁾		605,871	D	\$ 54.0126 ⁽²⁾	0	D
Class A Common Stock	09/24/2018		C		298,647	A	\$ 0 ⁽³⁾	298,647	I
Class A Common Stock	09/24/2018		S ⁽¹⁾		298,647	D	\$ 54.0126 ⁽²⁾	0	I
									By David C. Paul Children's Trust ⁽⁴⁾
									By David C. Paul Children's Trust ⁽⁴⁾

Edgar Filing: Paul David C - Form 4

Class A Common Stock	09/24/2018	C	298,647	A	\$ 0 ⁽³⁾	298,647	I	By Sonali Paul Children's Trust ⁽⁵⁾
Class A Common Stock	09/24/2018	S ⁽¹⁾	298,647	D	\$ 54.0126 ⁽²⁾	0	I	By Sonali Paul Children's Trust ⁽⁵⁾
Class A Common Stock	09/24/2018	C	101,320	A	\$ 0 ⁽³⁾	101,320	D	
Class A Common Stock	09/24/2018	S ⁽¹⁾	101,320	D	\$ 54.0126 ⁽²⁾	0	D	
Class A Common Stock	09/25/2018	C	748,845	A	\$ 0 ⁽³⁾	748,845	D	
Class A Common Stock	09/25/2018	S ⁽¹⁾	748,845	D	\$ 54.6964 ⁽⁶⁾	0	D	

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

SEC 1474
(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
Class B Common Stock ⁽⁷⁾	⁽³⁾	09/24/2018		C		298,647 ⁽³⁾		⁽³⁾	⁽³⁾	Class A Common Stock	298,647
Class B Common Stock ⁽⁷⁾	⁽³⁾	09/24/2018		C		298,647 ⁽³⁾		⁽³⁾	⁽³⁾	Class A Common Stock	298,647

Class B Common Stock <u>(7)</u>	<u>(3)</u>	09/24/2018	C	101,320 <u>(3)</u>	<u>(3)</u>	<u>(3)</u>	Class A Common Stock	101,320
Class B Common Stock <u>(7)</u>	<u>(3)</u>	09/25/2018	C	748,845 <u>(3)</u>	<u>(3)</u>	<u>(3)</u>	Class A Common Stock	748,845
Class B Common Stock <u>(7)</u>	<u>(7)</u>				<u>(7)</u>	<u>(7)</u>	Class A Common Stock	1,562,573

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Paul David C VALLEY FORGE BUSINESS CENTER 2560 GENERAL ARMISTEAD AVENUE AUDUBON, PA 19403	X	X	Executive Chairman	

Signatures

/s/ Eric I. Schwartz,
Attorney-in-Fact

09/26/2018

__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) This sale was effected pursuant to a Rule 10b5-1 trading plan executed by the reporting person.
- The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$54.00 to \$54.26, inclusive. The reporting person undertakes to provide the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in footnote (2) to this Form 4.
- (2) The Company's Class B Common Stock converted into the Company's Class A Common Stock on a one-for-one basis at the election of the reporting person and has no expiration date.
- These shares are held in a trust for the benefit of a child of the reporting person. The reporting person disclaims beneficial ownership of these securities, and the filing of this report is not an admission that the reporting person is the beneficial owner of these securities for purposes of Section 16 or for any other purpose.
- (3) These shares are held in a trust for the benefit of a child of the reporting person. The reporting person is trustee of the trust.
- The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$54.00 to \$55.00, inclusive. The reporting person undertakes to provide the Issuer, any security holder of the Issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in footnote (6) to this Form 4.
- (6) From the date of acquisition, the Company's Class B Common Stock converts into the Company's Class A Common Stock on a one-for-one basis (i) at the option of the holder, (ii) upon certain transfers, (iii) upon the closing of the Company's initial public offering if at that time the Company's Class B Common Stock that the holder beneficially owns is less than 10% of the aggregate number of all

Edgar Filing: Paul David C - Form 4

outstanding shares of the Company's common stock, and (iv) immediately if, at any time following the initial public offering of the Company's common stock, the Company's Class B Common Stock that the holder beneficially owns represents less than 5% of all outstanding shares of the Company's common stock.

- (8) These shares are held in a trust for the benefit of the reporting person's spouse and children. The reporting person's spouse is trustee of the trust.

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.