

Stertzer Kimberly
Form 3
January 03, 2019

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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 *

Stertzer Kimberly
(Last) (First) (Middle)

C/O BIOCARDIA, INC., 125 SHOREWAY ROAD, SUITE B

(Street)

SAN CARLOS, CA 94070

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)
12/24/2018

3. Issuer Name and Ticker or Trading Symbol
BioCardia, Inc. [BCDA]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

5. 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

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)

4. Nature of Indirect Beneficial Ownership (Instr. 5)

| | | | |
|--------------|-----------|------------------|---|
| Common Stock | 4,278,274 | I | By Stertzer Family Trust ⁽¹⁾ |
| Common Stock | 2,076,346 | I | By Windrock Enterprises L.L.C. ⁽²⁾ |
| Common Stock | 12,000 | D ⁽³⁾ | ^ |
| Common Stock | 104,910 | I | By Stertzer Gamma Trust ⁽⁴⁾ |
| Common Stock | 448,895 | I | By Stertzer Holdings LLC ⁽⁵⁾ |

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

SEC 1473 (7-02)

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

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---|---|-----------------|--|----------------------------|--|--|--|
| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | |
| Warrant (Right to Buy) | 12/24/2018 | 12/24/2023 | Common Stock | 833,333 | \$ 0.75 | I | By Stertzer Family Trust ⁽¹⁾ |
| Warrant (Right to Buy) | 12/24/2018 | 12/24/2023 | Common Stock | 833,333 | \$ 0.75 | I | By Windrock Enterprises L.L.C. ⁽²⁾ |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Stertzer Kimberly C/O BIOCARDIA, INC. 125 SHOREWAY ROAD, SUITE B SAN CARLOS, CA 94070 | ^ | ^ X | ^ | ^ |

Signatures

/s/ David McClung, attorney-in-fact 01/03/2019
 __Signature of Reporting Person Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 5(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 Reporting Person and her spouse are co-trustees of the Stertzer Family Trust, and share voting and dispositive control over the securities held by the Stertzer Family Trust
- (2) The Reporting Person and her spouse are the sole members and managers of Windrock Enterprises L.L.C., and share voting and dispositive control over the securities held by Windrock Enterprises L.L.C.
- (3) Owned jointly with Simon H. Stertzer
- (4) These shares are held by the Stertzer Gamma Trust, of which the Reporting Person is the grantor.
- (5) These shares are held by Stertzer Holdings LLC. The Reporting Person is a manager of Stertzer Holdings LLC and has voting and dispositive control of such shares.

^
Remarks:
 Exhibit List: Exhibit 24 - Power of Attorney

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.