

Yow Mai Chan
Form 4/A
April 03, 2018

FORM 4

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

OMB APPROVAL

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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. Name and Address of Reporting Person *
Yow Mai Chan

(Last) (First) (Middle)

C/O FLUIDIGM CORPORATION, 7000 SHORELINE COURT, SUITE 100

(Street)

SOUTH SAN FRANCISCO, CA 94080

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
FLUIDIGM CORP [FLDM]

3. Date of Earliest Transaction (Month/Day/Year)
09/20/2017

4. If Amendment, Date Original Filed (Month/Day/Year)
09/22/2017

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___ 10% Owner
X Officer (give title below) ___ Other (specify below)
See Remarks

6. Individual or Joint/Group Filing (Check Applicable Line)
X 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 Ownership (Instr. 4)
				(A) or (D)	Amount		Price

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

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SEC 1474 (9-02)

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

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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 Security (Instr. 3 and 4)	
					Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title
Employee Stock Option (Right to Buy)	\$ 14.6	09/20/2017		D			834	<u>(1)</u>	05/17/2021	Common Stock	834
Employee Stock Option (Right to Buy)	\$ 5.13	09/20/2017		A			242	<u>(3)</u>	09/20/2027	Common Stock	242
Employee Stock Option (Right to Buy)	\$ 15.49	09/20/2017		D			17,859	<u>(4)</u>	02/16/2022	Common Stock	17,859
Employee Stock Option (Right to Buy)	\$ 5.13	09/20/2017		A			4,920	<u>(3)</u>	<u>(6)</u>	Common Stock	4,920
Employee Stock Option (Right to Buy)	\$ 16.73	09/20/2017		D			66,000	<u>(7)</u>	02/15/2023	Common Stock	66,000
Employee Stock Option (Right to Buy)	\$ 5.13	09/20/2017		A			17,838	<u>(3)</u>	<u>(6)</u>	Common Stock	17,838
Employee Stock Option (Right to Buy)	\$ 47.55	09/20/2017		D			14,000	<u>(9)</u>	03/14/2024	Common Stock	14,000
Employee Stock Option	\$ 5.13	09/20/2017		A			1,541	<u>(3)</u>	<u>(6)</u>	Common Stock	1,541

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(Right to Buy)										
Employee Stock Option (Right to Buy)	\$ 41.14	09/20/2017	D	12,000	(11)	03/12/2025	Common Stock	12,000		
Employee Stock Option (Right to Buy)	\$ 5.13	09/20/2017	A	2,073	(3)	(6)	Common Stock	2,073		
Employee Stock Option (Right to Buy)	\$ 7.1	09/20/2017	D	13,500	(13)	03/04/2026	Common Stock	13,500		
Employee Stock Option (Right to Buy)	\$ 5.13	09/20/2017	A	8,941	(3)	(6)	Common Stock	8,941		
Employee Stock Option (Right to Buy)	\$ 6.16	09/20/2017	D	48,400	(15)	02/13/2027	Common Stock	48,400		
Employee Stock Option (Right to Buy)	\$ 5.13	09/20/2017	A	34,572	(3)	(6)	Common Stock	34,572		
Employee Stock Option (Right to Buy)	\$ 7.1	09/20/2017	D	6,750	(13)	03/04/2026	Common Stock	6,750		
Employee Stock Option (Right to Buy)	\$ 5.13	09/20/2017	A	4,471	(3)	(6)	Common Stock	4,471		

Reporting Owners

Reporting Owner Name / Address	Relationships
Reporting Owners	

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Director 10% Owner Officer Other

Yow Mai Chan
C/O FLUIDIGM CORPORATION
7000 SHORELINE COURT, SUITE 100
SOUTH SAN FRANCISCO, CA 94080

See Remarks

Signatures

/s/ Mai Chan Yow by Nicholas Khadder,
Attorney-in-Fact

04/03/2018

__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) The shares subject to the Option fully vested on May 18, 2015.
On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 834 shares of FLDM common stock granted to the Reporting Person on May 18, 2011. In exchange, the Reporting Person received a replacement Option, for 242 shares, having an exercise price of \$5.13 per share.
- (2) 1/12th of the total number of shares underlying the Option will vest on February 20, 2018, and 1/12th of the total number of shares underlying the Option granted will vest every three months thereafter until fully vested, subject to the Reporting Person's continued status as a Service Provider as defined in the Company's 2011 Equity Incentive Plan through the applicable vest date.
- (3) The shares subject to the Option fully vested on January 1, 2016.
On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 17,859 shares of FLDM common stock granted to the Reporting Person on February 17, 2012. In exchange, the Reporting Person received a replacement Option, for 4,920 shares, having an exercise price of \$5.13 per share.
- (4) The Option expiration date is September 20, 2027.
- (5) The shares subject to the Option fully vested on January 1, 2017.
On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 66,000 shares of FLDM common stock granted to the Reporting Person on February 15, 2013. In exchange, the Reporting Person received a replacement Option, for 17,838 shares, having an exercise price of \$5.13 per share.
- (6) The Option provided for vesting in forty-eight equal monthly installments beginning on January 1, 2014.
On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 14,000 shares of FLDM common stock granted to the Reporting Person on March 14, 2014. In exchange, the Reporting Person received a replacement Option, for 1,541 shares, having an exercise price of \$5.13 per share.
- (7) The Option provided for vesting of 2/48th of the total number of shares subject to the Option on March 12, 2015 and forty-six equal monthly installments beginning on April 1, 2015.
On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 12,000 shares of FLDM common stock granted to the Reporting Person on March 12, 2015. In exchange, the Reporting Person received a replacement Option, for 2,073 shares, having an exercise price of \$5.13 per share.
- (8) The Option provided for vesting in forty-eight equal monthly installments beginning on February 1, 2016.
On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 13,500 shares of FLDM common stock granted to the Reporting Person on March 4, 2016. In exchange, the Reporting Person received a replacement Option, for 8,941 shares, having an exercise price of \$5.13 per share.
- (9) The Option provided for vesting in forty-eight equal monthly installments beginning on February 1, 2017.
On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 48,400 shares of FLDM common stock granted to the Reporting Person on February 13, 2017. In exchange, the Reporting Person received a replacement Option, for 34,572 shares, having an exercise price of \$5.13 per share.
- (10)
- (11)
- (12)
- (13)
- (14)
- (15)
- (16)
- (17)

Signatures

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On September 20, 2017, the Issuer cancelled, pursuant to the Issuer's option exchange program, an Option for 6,750 shares of FLDM common stock granted to the Reporting Person on March 4, 2016. In exchange, the Reporting Person received a replacement Option, for 4,471 shares, having an exercise price of \$5.13 per share.

Remarks:

Executive Vice President, Worldwide Manufacturing of Fluidigm Singapore Pte. Ltd.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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