Cara Therapeutics, Inc.

Form 3

May 11, 2017

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

OMB APPROVAL

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SECURITIES

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement Cara Therapeutics, Inc. [CARA] **Â** Terrillion Scott (Month/Day/Year) 05/01/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O CARA THERAPEUTICS. (Check all applicable) INC., 4 STAMFORD PLAZA, 107 ELM STREET, 9TH FL 10% Owner Director (Street) \_\_X\_\_ Officer Other 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) Sec'y; Chief Compliance & G.C. \_X\_ Form filed by One Reporting Person STAMFORD. CTÂ 06902 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned

1.Title of Security
2. Amount of Securities
(Instr. 4)
Beneficially Owned
(Instr. 4)

Amount of Securities 3.
eneficially Owned Ownership
nstr. 4) Form:
Direct (D)

4. Nature of Indirect Beneficial Ownership

Form: (Instr. 5)
Direct (D)
or Indirect

(I) (Instr. 5)

Common Stock 0 D Â

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)

3. Title and Amount of 6. Nature of Indirect 1. Title of Derivative Security 2. Date Exercisable and 4. 5. Securities Underlying Ownership Beneficial Ownership (Instr. 4) **Expiration Date** Conversion (Month/Day/Year) Derivative Security or Exercise Form of (Instr. 5) (Instr. 4) Price of Derivative Derivative Security:

#### Edgar Filing: Cara Therapeutics, Inc. - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	(1)	11/28/2026	Common Stock	135,000	\$ 9.22	D	Â

## **Reporting Owners**

Reporting Owner Name / Address		Relationships					
	Director	10% Owner	Officer	Othe			
Terrillion Scott C/O CARA THERAPEUTICS, INC. 4 STAMFORD PLAZA, 107 ELM STREET, 9TH FL STAMFORD, CT 06902	Â	Â	Sec'y; Chief Compliance & G.C.	Â			

### **Signatures**

/s/Alison Haggerty,
Attorney-in-Fact

\*\*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).

One-fourth (1/4th) of the shares vest on November 28, 2017, with the balance of the shares vesting in a series of thirty-six (36) successive (1) equal monthly installments thereafter, in each case subject to the Reporting Person's Continuous Service (as defined in the 2014 Equity Incentive Plan) as of each such date.

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#### **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.

Reporting Owners 2