Bauerlein Alison Form 4 February 13, 2018

# FORM 4

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

OMB Number:

5. Relationship of Reporting Person(s) to

3235-0287

0.5

January 31, Expires: 2005

**OMB APPROVAL** 

Estimated average burden hours per response...

Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations

may continue.

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

2. Issuer Name and Ticker or Trading

30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

02/12/2018

1. Name and Address of Reporting Person \*

Bauerlein	Alison		Symbol	n Inc [IN	JG	:N1		Is	suer		
(Last)	(First)	(Middle)	3. Date	of Earlies	t T	Transaction				all applicable)	
C/O INOC DRIVE	GEN, INC., 326 B	OLLAY	(Month/ 02/09/	Day/Year 2018	r)				Director X_ Officer (give ti low) EVP, Fi		Owner r (specify
	(Street)		4. If An	nendment.	, D	ate Origin	al	6.	Individual or Join	t/Group Filing	g(Check
			Filed(M	onth/Day/	Yea	ar)			oplicable Line)  K_ Form filed by On-	e Reporting Per	son
GOLETA,							Form filed by More than One Reporting Person				
(City)	(State)	(Zip)	Tal	ble I - No	n-	Derivative	Secu	rities Acquir	ed, Disposed of,	or Beneficiall	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)		Date, if	Code (Instr. 8	)	orDisposed (Instr. 3, 4	of (D) and 5  (A) or	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)
Common Stock	02/09/2018			Code M	V	Amount 11,718	(D)	Price \$ 44.19	11,718	D	
Common Stock	02/09/2018			S <u>(1)</u>		8,213	D	\$ 115.6329 (2)	3,505	D	
Common Stock	02/09/2018			S <u>(1)</u>		3,505	D	\$ 116.4218 (3)	0	D	
Common Stock	02/12/2018			M		15,912	A	\$ 2.4	15,912	D	

 $S^{(1)}$ 

3,197

D

12,715

D

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Common Stock					\$ 115.2463 (4)		
Common Stock	02/12/2018	S <u>(1)</u>	2,927	D	\$ 116.2601 (5)	9,788	D
Common Stock	02/12/2018	S <u>(1)</u>	7,120	D	\$ 117.4463 <u>(6)</u>	2,668	D
Common Stock	02/12/2018	S <u>(1)</u>	2,668	D	\$ 118.1268 <u>(7)</u>	0	D

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)

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 orDerivative 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 Share
Stock Option (right to buy)	\$ 44.19	02/09/2018		M	11,718	<u>(8)</u>	05/11/2023	Common Stock	11,718
Stock Option (right to buy)	\$ 2.4	02/12/2018		M	15,912	<u>(9)</u>	03/26/2018(10)	Common Stock	15,912

# **Reporting Owners**

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

Reporting Owners 2

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Bauerlein Alison C/O INOGEN, INC. 326 BOLLAY DRIVE GOLETA, CA 93117

EVP, Finance, & CFO

### **Signatures**

/s/ Rhonda McBride, as attorney-in-fact

02/13/2018

\*\*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 sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on November 10, 2017.
- Represents the weighted average share price of an aggregate total of 8,213 shares sold in the price range of \$115.100 to \$116.095 by the reporting person. The reporting person undertakes to provide upon request by the Commission staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.
- Represents the weighted average share price of an aggregate total of 3,505 shares sold in the price range of \$116.105 to \$117.060 by the reporting person. The reporting person undertakes to provide upon request by the Commission staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.
- Represents the weighted average share price of an aggregate total of 3,197 shares sold in the price range of \$114.66 to \$115.61 by the reporting person. The reporting person undertakes to provide upon request by the Commission staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.
- Represents the weighted average share price of an aggregate total of 2,927 shares sold in the price range of \$115.940 to \$116.655 by the reporting person. The reporting person undertakes to provide upon request by the Commission staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.
- Represents the weighted average share price of an aggregate total of 7,120 shares sold in the price range of \$116.94 to \$117.93 by the reporting person. The reporting person undertakes to provide upon request by the Commission staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.
- Represents the weighted average share price of an aggregate total of 2,668 shares sold in the price range of \$117.99 to \$118.56 by the reporting person. The reporting person undertakes to provide upon request by the Commission staff, the issuer or a security holder of the issuer, full information regarding the number of shares sold at each separate price.
  - Subject to the reporting person's continuing service, twenty-five percent (25%) of the shares subject to the option shall vest and become exercisable on the one year anniversary of the vesting commencement date, and thereafter, one forty-eighth (1/48th) of the shares subject
- (8) to the option shall vest each month on the same day as the vesting commencement date, such that the shares subject to the option shall become fully vested and exercisable on the fourth (4th) anniversary of the vesting commencement date. The vesting commencement date for this option is May 1, 2016.
- Subject to the reporting person's continuing service, one forty-eighth (1/48th) of the shares subject to the option shall vest each month on the same day as the vesting commencement date, such that the shares subject to the option shall become fully vested and exercisable on the fourth (4th) anniversary of the vesting commencement date. The vesting commencement date for this option is January 1, 2008.
- (10) Previously filed forms 3 and 4 reported incorrect expiration date.

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.

Signatures 3