Invuity, Inc. Form 3 June 11, 2015

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, response... 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 \*

 **LUCIER GREGORY T** 

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

06/11/2015

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Invuity, Inc. [IVTY]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O INVUITY, INC., 444 DE **HARO STREET** 

(Street)

\_X\_ Director Officer

10% Owner \_Other (give title below) (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

4. Nature of Indirect Beneficial

SAN FRANCISCO. CAÂ 94107

(City) (State)

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form: Direct (D)

or Indirect (I) (Instr. 5)

Table I - Non-Derivative Securities Beneficially Owned

Ownership

(Instr. 5)

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

(Zip)

SEC 1473 (7-02)

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.

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

5. Ownership Form of Derivative Security:

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

Date Exercisable

Expiration Date

Title

Amount or Number of Shares

Derivative Security

Direct (D) or Indirect

(I)

						(Instr. 5)	
Series F Preferred Stock	(1)	(1)	Common Stock	18,245	\$ <u>(1)</u>	I	See footnote (2)
Director Stock Option (right to buy)	(3)	10/21/2024	Common Stock	24,648	\$ 3.15	D	Â
Director Stock Option (right to buy)	(4)	04/16/2025	Common Stock	4,054	\$ 11.1	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships			
. 9	Director	10% Owner	Officer	Other
LUCIER GREGORY T				
C/O INVUITY, INC.	î v	Â	Â	â
444 DE HARO STREET	АЛ	A	A	A
SAN FRANCISCO, CA 94107				

# **Signatures**

/s/ Nancy Hargreaves, by power of attorney

06/11/2015

\*\*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).
  - 17,427 outstanding shares of Series F Preferred Stock shall automatically convert into 18,245 shares of common stock, on a
- (1) 1.046962183-for-one basis immediately prior to the closing of the Issuer's initial public offering of common stock and has no expiration date.
- (2) The shares are held by RiverRoad Capital Partners, LLC, of which the Reporting Person is a managing member.
  - The option is subject to an early exercise provision and is immediately exercisable. One forty-eighth of the shares subject to the option
- (3) vested on November 20, 2014 and one forty-eighth of the shares subject to the option vest each month thereafter, subject to the Reporting Person continuing as a service provider through each such date.
- (4) 100% of the shares subject to the option were fully vested as of the grant of such option.

Â

#### **Remarks:**

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