

Nelles Mitchell J  
 Form 4  
 July 03, 2018

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
 Expires: January 31, 2015  
 Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**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 \*  
 Nelles Mitchell J

(Last) (First) (Middle)

C/O CAREDX, INC., 3260  
 BAYSHORE BOULEVARD

(Street)

BRISBANE, CA 94005

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
 CareDx, Inc. [CDNA]

3. Date of Earliest Transaction  
 (Month/Day/Year)  
 06/29/2018

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

Chief Operating Officer

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 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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount (A) or (D) Price		
Common Stock	06/29/2018		A		10,000 (1) \$ 0	D	
Common Stock	06/29/2018		A		5,000 (2) \$ 0	D	
Common Stock	07/02/2018		M		3,649 A \$ 3.7	D	
Common Stock	07/02/2018		M		19,250 A \$ 5.27	D	
Common Stock	07/02/2018		M		9,000 A \$ 2.3	D	

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Common Stock	07/02/2018	S	39,649	D	\$ 12.4823 <u>(3)</u>	86,889	D
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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 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)	8. Amount or Number of Shares
				Code	V (A) (D)	Date Exercisable Expiration Date	Title	
Employee Stock Option (right to buy)	\$ 12.24	06/29/2018		A	10,000	<u>(4)</u> 06/29/2028	Common Stock	10,000
Employee Stock Option (right to buy)	\$ 3.7	07/02/2018		M	3,649	<u>(5)</u> 04/08/2020	Common Stock	3,649
Employee Stock Option (right to buy)	\$ 5.27	07/02/2018		M	19,250	<u>(6)</u> 01/22/2026	Common Stock	19,250
Employee Stock Option (right to buy)	\$ 2.3	07/02/2018		M	9,000	<u>(7)</u> 02/17/2027	Common Stock	9,000

## Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Nelles Mitchell J  
C/O CAREDX, INC.  
3260 BAYSHORE BOULEVARD  
BRISBANE, CA 94005

Chief Operating Officer

## Signatures

/s/ Peter Maag, as attorney-in-fact for Mitchell  
Nelles

07/03/2018

\_\_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 reported securities are represented by restricted stock units, 1/4th of which shall vest on June 1, 2019 and 1/4th of which shall vest on each anniversary thereafter.
- (2) The reported securities are represented by restricted stock units, 100% of which were vested upon grant.  
The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$12.25
- (3) to \$12.68, inclusive. The Reporting Person undertakes to provide upon request by the staff of the Securities and Exchange Commission, the Issuer or a security holder of the Issuer full information regarding the number of shares purchased or sold at each separate price.
- (4) 1/4th of the shares subject to the option shall vest on June 1, 2019 and 1/48th of the shares subject to the option shall vest monthly thereafter.
- (5) 1/4th of the shares subject to the option vested on January 1, 2011 and 1/48th of the shares subject to the option vested monthly thereafter. The shares were fully vested as of January 1, 2014.
- (6) 1/4th of the shares subject to the option vested on January 22, 2017 and 1/48th of the shares subject to the option vest monthly thereafter.
- (7) 1/4th of the shares subject to the option vested on January 27, 2018 and 1/48th of the shares subject to the option vest monthly thereafter.

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.