

SENYEI ANDREW E

Form 4

November 16, 2010

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
SENYEI ANDREW E

2. Issuer Name **and** Ticker or Trading
Symbol
COMPLETE GENOMICS INC
[GNOM]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction
(Month/Day/Year)
11/16/2010

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

C/O ENTERPRISE
PARTNERS, 2223 AVENIDA DE
LA PLAYA, SUITE 300

(Street)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

LA JOLLA, CA 92037-3218

(City) (State) (Zip)

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, par value \$0.001	11/16/2010		C		315,746	A	<u>(1)</u>	315,746	I	See Footnote <u>(2)</u>
Common Stock, par value \$0.001	11/16/2010		C		257,677	A	<u>(3)</u>	573,423	I	See Footnote <u>(2)</u>
Common Stock, par	11/16/2010		C		177,084	A	<u>(4)</u>	750,507	I	See Footnote

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value \$0.001								(2)
Common Stock, par value \$0.001	11/16/2010	C	488,789	A	5	1,239,296	I	See Footnote (2)
Common Stock, par value \$0.001	11/16/2010	C	547,094	A	5	1,786,390	I	See Footnote (2)
Common Stock, par value \$0.001	11/16/2010	X	308,930	A	\$ 1.5	2,095,320	I	See Footnote (2)
Common Stock, par value \$0.001	11/16/2010	F	51,489	D	\$ 9	2,043,831	I	See Footnote (2)
Common Stock, par value \$0.001	11/16/2010	X	32,364	A	\$ 7.56	2,076,195	I	See Footnote (2)
Common Stock, par value \$0.001	11/16/2010	F	27,186	D	\$ 9	2,049,009	I	See Footnote (2)
Common Stock, par value \$0.001	11/16/2010	X	17,261	A	\$ 7.56	2,066,270	I	See Footnote (2)
Common Stock, par value \$0.001	11/16/2010	F	14,500	D	\$ 9	2,051,770	I	See Footnote (2)
Common Stock, par value \$0.001	11/16/2010	X	2,958	A	\$ 7.56	2,054,728	I	See Footnote (2)
Common Stock, par value \$0.001	11/16/2010	F	2,485	D	\$ 9	2,052,243	I	See Footnote (2)
Common Stock, par value	11/16/2010	X	1,096	A	\$ 7.56	2,053,339	I	See Footnote (2)

\$0.001

Common
Stock, par
value
\$0.001

11/16/2010

F

921

D

\$ 9

2,052,418

I

See
Footnote
(2)

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

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.

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 Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount o Number of Shares
Series A Preferred Stock <u>(1)</u>	<u>(1)</u>	11/16/2010		C	315,746	<u>(8)</u> <u>(9)</u>	Common Stock 315,746
Series B Preferred Stock <u>(3)</u>	<u>(3)</u>	11/16/2010		C	257,677	<u>(8)</u> <u>(9)</u>	Common Stock 257,677
Series C Preferred Stock <u>(4)</u>	<u>(4)</u>	11/16/2010		C	177,084	<u>(8)</u> <u>(9)</u>	Common Stock 177,084
Series D Preferred Stock <u>(5)</u>	<u>(5)</u>	11/16/2010		C	488,789	<u>(8)</u> <u>(9)</u>	Common Stock 488,789
Series D Preferred Stock <u>(5)</u>	<u>(5)</u>	11/16/2010		C	66,138	<u>(8)</u> <u>(9)</u>	Common Stock 66,138
Series D Preferred Stock <u>(5)</u>	<u>(5)</u>	11/16/2010		C	176,737	<u>(8)</u> <u>(9)</u>	Common Stock 176,737
Series E Preferred Stock <u>(5)</u>	<u>(5)</u>	11/16/2010		C	547,094	<u>(8)</u> <u>(9)</u>	Common Stock 547,094
	<u>(5)</u>	11/16/2010		C	27,049	<u>(8)</u> <u>(9)</u>	27,049

Series E Preferred Stock <u>(5)</u>								Common Stock	
Series E Preferred Stock <u>(5)</u>	<u>(5)</u>	11/16/2010	C	259,458	<u>(8)</u>	<u>(9)</u>		Common Stock	259,458
Warrant to Purchase Common Stock	\$ 1.5	11/16/2010	X	308,930	<u>(10)</u>	08/12/2016		Common Stock	308,930
Warrant to Purchase Common Stock	\$ 1.5	11/16/2010	X	138,794	<u>(10)</u>	08/12/2016		Common Stock	138,794
Warrant to Purchase Series B Preferred Stock <u>(3)</u>	\$ 11.642 <u>(11)</u>	11/16/2010	J <u>(12)</u>	924	<u>(10)</u>	02/21/2012		Common Stock	924
Warrant to Purchase Series B Preferred Stock <u>(3)</u>	\$ 11.642 <u>(11)</u>	11/16/2010	J <u>(12)</u>	242	<u>(10)</u>	03/12/2012		Common Stock	242
Warrant to Purchase Series D Preferred Stock <u>(5)</u>	\$ 7.56	11/16/2010	X	32,364	<u>(10)</u>	02/13/2014		Common Stock	32,364
Warrant to Purchase Series D Preferred Stock <u>(5)</u>	\$ 7.56	11/16/2010	X	17,261	<u>(10)</u>	04/06/2014		Common Stock	17,261

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

SENYEI ANDREW E
C/O ENTERPRISE PARTNERS
2223 AVENIDA DE LA PLAYA, SUITE 300
LA JOLLA, CA 92037-3218

X

X

Signatures

/s/ Andrew E.
Senyei

11/16/2010

__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) Each share of Series A Preferred Stock was automatically converted into common stock immediately prior to the completion of the Issuer's initial public offering. Shares are reported on an "as converted" basis giving effect to the 4.615101 conversion ratio applicable to such shares.

The shares are owned by Enterprise Partners VI, LP ("Enterprise VI"). Enterprise Management Partners VI, LLC ("Enterprise VI LLC") serves as the general partner of Enterprise VI. Andrew E. Senyei, M.D. is a managing director of Enterprise VI LLC and shares voting and investment power over the shares held by Enterprise VI. The Reporting Person disclaims beneficial ownership of the shares reported herein, except to the extent of his proportionate pecuniary interest therein.
- (2) Each share of Series B Preferred Stock was automatically converted into common stock immediately prior to the completion of the Issuer's initial public offering. Shares are reported on an "as converted" basis giving effect to the 5.926613 conversion ratio applicable to such shares.
- (3) Each share of Series C Preferred Stock was automatically converted into common stock immediately prior to the completion of the Issuer's initial public offering. Shares are reported on an "as converted" basis giving effect to the 8.241076 conversion ratio applicable to such shares.
- (4) Each share of Series D and Series E Preferred Stock was automatically converted into one share of Common Stock immediately prior to the completion of the Issuer's initial public offering.
- (5) The shares are owned by Enterprise Partners Management, LLC ("Enterprise LLC"). Andrew E. Senyei, M.D. is a managing director of Enterprise LLC and shares voting and investment power over the shares held by Enterprise LLC. The Reporting Person disclaims beneficial ownership of the shares reported herein, except to the extent of his proportionate pecuniary interest therein.
- (6) The shares are owned by Enterprise Partners V, LP ("Enterprise V"). Enterprise Management Partners V, LLC ("Enterprise V LLC") serves as the general partner of Enterprise V. Andrew E. Senyei, M.D. is a managing director of Enterprise V LLC and shares voting and investment power over the shares held by Enterprise V. The Reporting Person disclaims beneficial ownership of the shares reported herein, except to the extent of his proportionate pecuniary interest therein.
- (7) The securities are immediately convertible.
- (8) The expiration date is not relevant to the conversion of these securities.
- (9) The warrant is immediately exercisable.
- (10) The Exercise Price of the Warrant to Purchase Series B Preferred Stock is \$69.00 per share of Series B Preferred Stock. The exercise price is reported on an "as converted" basis after giving effect to the 5.926613 conversion ratio.
- (11) Warrant canceled pursuant to its terms concurrent with closing of Issuer's initial public offering.
- (12)

Remarks:

Form 1 of 2

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.