Stertzer Kimberly Form 3 January 03, 2019

## FORM 3

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

OMB APPROVAL

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INITIAL STATEMENT OF 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 A Person *  Stertzer k		porting	<ul><li>2. Date of Event Requiring Statement (Month/Day/Year)</li></ul>	3. Issuer Name and Ticker or Trading Symbol BioCardia, Inc. [BCDA]				
(Last)	(First)	(Middle)	12/24/2018  4. Relationship of Reporting Person(s) to Issuer			5. If Amendment, Date Original Filed(Month/Day/Year)		
C/O BIOCARDIA, INC., 125 SHOREWAY ROAD, SUITE B				(Check	all applicable)			
(Street)				Director Officer (give title below	Other	r Filing(Check Applicable Line) ow) _X_ Form filed by One Reporting		
SAN CARLOS, CA 94070						Person Form filed by More than One Reporting Person		
(City)	(State)	(Zip)	Table I - N	Non-Derivat	ive Securiti	ies Beneficially Owned		
1.Title of Secur (Instr. 4)	ity		2. Amount o Beneficially (Instr. 4)		3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)		
Common Sto	ock		4,278,274		I	By Stertzer Family Trust (1)		
Common Sto	ock		2,076,346		I	By Windrock Enterprises L.L.C. $\underline{^{(2)}}$		
Common Sto	ock		12,000		D (3)	Â		
Common Sto	ock		104,910		I	By Stertzer Gamma Trust (4)		
Common Stock			448,895		I	By Stertzer Holdings LLC (5)		
Common Sto	ock		448,895		I	By Stertzer Holdings LLC (5)		

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)

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 Derivative	5. Ownership Form of Derivative Security:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)		
Warrant (Right to Buy)	12/24/2018	12/24/2023	Common Stock	833,333	\$ 0.75	I	By Stertzer Family Trust (1)	
Warrant (Right to Buy)	12/24/2018	12/24/2023	Common Stock	833,333	\$ 0.75	I	By Windrock Enterprises	

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
·F · · · · · · · · · · · · · · · · · ·	Director	10% Owner	Officer	Other		
Stertzer Kimberly C/O BIOCARDIA, INC. 125 SHOREWAY ROAD, SUITE B SAN CARLOS, CA 94070	Â	ÂX	Â	Â		

# **Signatures**

/s/ David McClung, attorney-in-fact 01/03/2019

\*\*Signature of Reporting Person

### **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).
- (1) The Reporting Person and her spouse are co-trustees of the Stertzer Family Trust, and share voting and dispositive control over the securities held by the Stertzer Family Trust
- (2) The Reporting Person and her spouse are the sole members and managers of Windrock Enterprises L.L.C., and share voting and dispositive control over the securities held by Windrock Enterprises L.L.C.
- (3) Owned jointly with Simon H. Stertzer
- (4) These shares are held by the Stertzer Gamma Trust, of which the Reporting Person is the grantor.

Date

(5) These shares are held by Stertzer Holdings LLC. The Reporting Person is a manager of Stertzer Holdings LLC and has voting and dispositive control of such shares.

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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.

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