Corium International, Inc.

Form 4

April 08, 2014

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

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**OMB APPROVAL** 

response...

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Check this box

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 See Instruction

30(h) of the Investment Company Act of 1940

1(b).

(Last)

(City)

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(Print or Type Responses)

may continue.

1. Name and Address of Reporting Person \* ESSEX WOODLANDS HEALTH VENTURES FUND VII LP

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

(First)

(Street)

(State)

(Middle)

(Zip)

Corium International, Inc. [CORI]

(Check all applicable)

C/O ESSEX WOODLANDS HEALTH VENTURES, 335 **BRYANT STREET, THIRD** 

**FLOOR** 

(Month/Day/Year) 04/08/2014

3. Date of Earliest Transaction

Director Officer (give title below)

X 10% Owner Other (specify

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

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

D

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

(A)

PALO ALTO, CA 94301

tle of	2. Transaction Date	2A. Deemed
ırity	(Month/Day/Year)	Execution Date, if
tr. 3)		any
		(Month/Day/Year)

4. Securities Acquired (A) 5. Amount of Transaction Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

Securities Beneficially Form: Owned Following Reported Transaction(s) (Instr. 4)

7. Nature of Ownership Indirect Beneficial Direct (D) Ownership or Indirect (Instr. 4)

or (Instr. 3 and 4) Code V Price Amount (D) Common 04/08/2014 C D 679,115 Α <u>(1)</u> 679,115 Stock

Common 04/08/2014  $\mathbf{C}$ 2,028,309 A (1) 2,704,424 D Stock Common

X 04/08/2014 397,718 D Α <u>(3)</u> 3,105,142 Stock Common X 04/08/2014 26,385 A <u>(3)</u> 3,131,527 D Stock

> 04/08/2014 X 214,149 <u>(3)</u> Α 3,345,676

Common Stock							
Common Stock	04/08/2014	X	1,114	A	<u>(3)</u>	3,346,790	D
Common Stock	04/08/2014	X	218,279	A	<u>(3)</u>	3,565,069	D
Common Stock	04/08/2014	X	794	A	<u>(4)</u>	3,565,863	D
Common Stock	04/08/2014	X	397	A	<u>(4)</u>	3,566,260	D
Common Stock	04/08/2014	C	3,387,146	A	<u>(5)</u>	6,953,406	D
Common Stock	04/08/2014	С	1,999,898	A	<u>(5)</u>	8,953,304	D
Common Stock	04/08/2014	P	400,000	A	\$8	9,353,304	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. Transactic Code (Instr. 8)	onDerivative Expiration		6. Date Exer Expiration D (Month/Day/	ate	7. Title and Am Underlying Sec (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Ar Nu Sh
Series B Convertible Preferred Stock	(1)	04/08/2014		С		6,859,066	<u>(1)</u>	<u>(1)</u>	Common Stock	ć
Series C Convertible Preferred Stock	(1)	04/08/2014		С		20,485,926	<u>(1)</u>	<u>(1)</u>	Common Stock	2,
Warrant to Purchase Common	(3)	04/08/2014		X		397,718	(3)	08/02/2017	Common Stock	3

Stock								
Warrant to Purchase Common Stock	<u>(3)</u>	04/08/2014	X	26,385	(3)	08/02/2017	Common Stock	2
Warrant to Purchase Common Stock	<u>(3)</u>	04/08/2014	X	214,149	(3)	08/02/2017	Common Stock	2
Warrant to Purchase Common Stock	<u>(3)</u>	04/08/2014	X	1,114	(3)	08/02/2017	Common Stock	
Warrant to Purchase Common Stock	<u>(3)</u>	04/08/2014	X	218,279	(3)	08/02/2017	Common Stock	2
Warrant to Purchase Series C Convertible Preferred Stock	<u>(4)</u>	04/08/2014	X	109,015	<u>(4)</u>	07/02/2020	Common Stock	,
Warrant to Purchase Series C Convertible Preferred Stock	<u>(4)</u>	04/08/2014	X	54,507	<u>(4)</u>	12/29/2020	Common Stock	í
Convertible Promissory Notes	<u>(5)</u>	04/08/2014	C	3,387,146	<u>(5)</u>	07/01/2017	Common Stock	3,
Convertible Promissory Notes	<u>(5)</u>	04/08/2014	C	1,999,898	<u>(5)</u>	07/01/2017	Common Stock	1,9

# **Reporting Owners**

Reporting Owner Name / Address		Relationships						
coporting of the control of the cont	Director	10% Owner	Officer	Other				
ESSEX WOODLANDS HEALTH VENTURES FUND VII LP								
C/O ESSEX WOODLANDS HEALTH VENTURES		X						
335 BRYANT STREET, THIRD FLOOR		Λ						
PALO ALTO, CA 94301								

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# **Signatures**

/s/Lowell Segal, Attorney-in-fact

04/08/2014

\*\*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 shares of Series B Convertible Preferred Stock and Series C Convertible Preferred Stock automatically converted into Common Stock in connection with the Issuer's initial public offering and had no expiration date.
- (2) The number of shares reflects a 10.1-for-1 reverse stock split of all outstanding shares of Common Stock effected on March 21, 2014.
- (3) The warrants were automatically net exercised in connection with the Issuer's initial public offering at an exercise price of \$2.12100 per share.
- (4) The warrants were automatically net exercised in connection with the Issuer's initial public offering at an exercise price of \$7.41140 per share.
- (5) The principal amount and accrued interest automatically converted into the specified number of shares of Common Stock in connection with the Issuer's initial public offering.

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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