#### Edgar Filing: THERMAGE INC - Form 3

THERMAGE INC Form 3 January 10, 2008

## FORM 3

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

OMB APPROVAL

OMB Number:

3235-0104

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

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

**SECURITIES** 

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement THERMAGE INC [THRM] A Ferrari H Daniel (Month/Day/Year) 01/03/2008 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O THERMAGE. 25881 (Check all applicable) **INDUSTRIAL BLVD** (Street) 6. Individual or Joint/Group 10% Owner Director \_X\_\_ Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Vice President Person HAYWARD, CAÂ 94545 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 4. Nature of Indirect Beneficial Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â 11,610 (1) Common Stock D Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

currently valid OMB control number.

3. Title and Amount of 1. Title of Derivative Security 5. 6. Nature of Indirect 2. Date Exercisable and (Instr. 4) **Expiration Date** Securities Underlying Conversion Ownership Beneficial Ownership (Month/Day/Year) **Derivative Security** or Exercise Form of (Instr. 5) (Instr. 4) Price of Derivative Derivative Security: Title Direct (D) Security

#### Edgar Filing: THERMAGE INC - Form 3

	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Employee Stock Option (right to buy)	(2)	11/15/2014	Common Stock	8,000 (3)	\$ 1.9	D	Â
Employee Stock Option (right to buy)	(4)	05/03/2016	Common Stock	36,000	\$ 3	D	Â
Employee Stock Option (right to buy)	(5)	02/28/2017	Common Stock	10,000	\$ 8.7	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
Transfer de la companya de la compan	Director	10% Owner	Officer	Other		
Ferrari H Daniel						
C/O THERMAGE	Â	Â	Vice President	â		
25881 INDUSTRIAL BLVD	А	A	A vice riesident	A		
HAYWARD. CA 94545						

### **Signatures**

/s/ H Daniel
Ferrari

\*\*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).
- (1) Includes 2,412 shares acquired under the company's stock purchase plan on November 15, 2007. Also includes restricted stock unit grant of 2,171 shares, of which 798 shares were traded for taxes upon vest, and 675 shares sold on August 7, 2007.
- (2) This option vests and the shares become exercisable according to the following schedule: 1/4 on November 16, 2005 and 1/48 on the last day of each full calendar month thereafter.
- The original option grant for 24,000 shares was partially exercised as follows: 8,500 shares on May 2, 2006. In addition, the option was partially exercised and the corresponding shares were sold as follows: 1,000 shares on August 8, 2007, 1,200 shares on August 9, 2007, 3,595 shares on August 13, 2007 and 1,705 shares on August 14, 2007.
- (4) This option vests and the shares become exercisable according to the following schedule: 1/48 on March 31, 2006 and 1/48 on the last day of each full calendar month thereafter.
- (5) This option vests and the shares become exercisable according to the following schedule: 1/48 on January 31, 2007 and 1/48 on the last day of each full calendar month 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.

Reporting Owners 2