

TRANSGENOMIC INC
Form 3
May 29, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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)

| | | | | | |
|---|---|---|--|---|---|
| <p>1. Name and Address of Reporting Person *</p> <p>Â DOUGLAS KEVIN</p> <p>(Last) (First) (Middle)</p> <p>125 E. SIR FRANCIS DRAKE BLVD., STE 400</p> <p>(Street)</p> <p>LARKSPUR, Â CA Â 94939</p> <p>(City) (State) (Zip)</p> | <p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>05/22/2014</p> | <p>3. Issuer Name and Ticker or Trading Symbol</p> <p>TRANSGENOMIC INC [TBIO]</p> | <p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input checked="" type="checkbox"/> 10% Owner <input type="checkbox"/> Officer <input checked="" type="checkbox"/> Other (give title below) (specify below)</p> <p>13(d)(3) group</p> | <p>5. If Amendment, Date Original Filed(Month/Day/Year)</p> | <p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input type="checkbox"/> Form filed by One Reporting Person <input checked="" type="checkbox"/> Form filed by More than One Reporting Person</p> |
|---|---|---|--|---|---|

Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|------------------------------------|--|---|--|
| Common Stock | 278,332 | D <u>(1)</u> <u>(2)</u> | Â |
| Common Stock | 351,666 | I <u>(2)</u> <u>(3)</u> | By James Douglas and Jean Douglas Irrevocable Descendants' Trust |
| Common Stock | 153,333 | I <u>(2)</u> <u>(4)</u> | By Douglas Family Trust |
| Common Stock | 33,333 | I <u>(2)</u> <u>(5)</u> | By James E. Douglas III |

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)

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| 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 Security | 5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---|--|--------------------|--|----------------------------------|--|--|---|
| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | |
| Warrant (right to buy) | Â (6) | 02/07/2017 | Common Stock | 85,250 | \$ 11.73 | D (1) (2) | Â |
| Warrant (right to buy) | Â (6) | 02/07/2017 | Common Stock | 70,332 | \$ 11.73 | I (2) (3) | By James Douglas and Jean Douglas Irrevocable Descendants' Trust |
| Warrant (right to buy) | Â (6) | 02/07/2017 | Common Stock | 36,231 | \$ 11.73 | I (2) (4) | By Douglas Family Trust |
| Warrant (right to buy) | Â (6) | 02/07/2017 | Common Stock | 21,312 | \$ 11.73 | I (2) (5) | By James E. Douglas III |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|----------------|
| | Director | 10% Owner | Officer | Other |
| DOUGLAS KEVIN 125 E. SIR FRANCIS DRAKE BLVD., STE 400 LARKSPUR, CA 94939 | Â | Â X | Â | 13(d)(3) group |
| Douglas Michelle 125 E. SIR FRANCIS DRAKE BLVD., STE 400 LARKSPUR, CA 94939 | Â | Â X | Â | 13(d)(3) group |
| DOUGLAS FAMILY TRUST 125 E. SIR FRANCIS DRAKE BLVD., STE 400 LARKSPUR, CA 94939 | Â | Â X | Â | 13(d)(3) group |
| JAMES & JEAN DOUGLAS IRREVOCABLE DESCENDANTS TRUST 125 E. SIR FRANCIS DRAKE BLVD., STE 400 LARKSPUR, CA 94939 | Â | Â X | Â | 13(d)(3) group |
| DOUGLAS JAMES E III 125 E. SIR FRANCIS DRAKE BLVD., STE 400 LARKSPUR, CA 94939 | Â | Â X | Â | 13(d)(3) group |

Signatures

/s/ Eileen Wheatman, attorney in fact for Kevin Douglas 05/29/2014
**Signature of Reporting Person Date
/s/ Eileen Wheatman, attorney in fact for Michelle Douglas 05/29/2014

