Cara Therapeutics, Inc.

Form 3

January 30, 2014

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

**OMB APPROVAL** 

**OMB** Number:

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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 Address of Reporting Person \*

CHALMERS DEREK T

(Last)

(First)

C/O CARA THERAPEUTICS,

(Street)

INC., 1 PARROTT DRIVE

(Middle)

Statement

(Month/Day/Year)

01/30/2014

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Cara Therapeutics, Inc. [CARA]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

(Check all applicable)

\_X\_ Director \_X\_ Officer

10% Owner Other (give title below) (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

SHELTON, CTÂ 06484

(City) (State) (Zip)

1. Title of Security

(Instr. 4)

Table I - Non-Derivative Securities Beneficially Owned

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

President & CEO

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Direct (D) or Indirect (I)

(Instr. 5)

Common Stock

966,750

D

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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)

Conversion or Exercise Price of

5. Ownership Form of Derivative Security:

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Title

Derivative Security

Direct (D)

### Edgar Filing: Cara Therapeutics, Inc. - Form 3

	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Series A Preferred Stock	(1)	(1)	Common Stock	80,000	\$ <u>(1)</u>	D	Â
Series D Preferred Stock	(2)	(2)	Common Stock	53,042	\$ (2)	D	Â
Employee Stock Option (Right to Buy)	(3)	11/07/2017	Common Stock	40,000	\$ 2.48	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
***	Director	10% Owner	Officer	Other		
CHALMERS DEREK T C/O CARA THERAPEUTICS, INC. 1 PARROTT DRIVE SHELTON, CT 06484	ÂX	Â	President & CEO	Â		

# **Signatures**

/s/Darren DeStefano, Attorney-in-Fact 01/30/2014

\*\*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) The Series A Preferred Stock held by the reporting person will automatically convert on a 1-for-2.5 basis into shares of common stock upon the closing of the issuer's initial public offering. The Series A Preferred Stock has no expiration date.
- (2) The Series D Preferred Stock held by the reporting person will automatically convert on a 1-for-2.5 basis into shares of common stock upon the closing of the issuer's initial public offering. The Series D Preferred Stock has no expiration date.
- (3) Immediately exercisable.

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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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