

TREMOR VIDEO INC.
Form 3
June 26, 2013

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)

1. Name and Address of Reporting
Person *

Â Rossman James

(Last) (First) (Middle)

C/O TREMOR VIDEO,
INC.,Â 53 WEST 23RD
STREET

(Street)

NEW YORK,Â NYÂ 10010

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

06/26/2013

3. Issuer Name **and** Ticker or Trading Symbol
TREMOR VIDEO INC. [TRMR]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer ☐ Other
(give title below) (specify below)

6. Individual or Joint/Group
Filing(Check Applicable Line)
☒ Form filed by One Reporting
Person
☐ Form filed by More than One
Reporting Person

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)

Reminder: Report on a separate line for each class of securities beneficially
owned directly or indirectly.

SEC 1473 (7-02)

**Persons who respond to the collection of
information contained in this form are not
required to respond unless the form displays a
currently valid OMB control number.**

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)

Date Expiration
Exercisable Date

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title Amount or
Number of

4. Conversion
or Exercise
Price of
Derivative
Security

5. Ownership
Form of
Derivative
Security:
Direct (D)

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

Edgar Filing: TREMOR VIDEO INC. - Form 3

				Shares		or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	Â (1)	07/16/2017	Common Stock	26,013	\$ 0.44	D	Â
Stock Option (right to buy)	Â (2)	02/11/2020	Common Stock	51,761	\$ 1.11	D	Â
Stock Option (right to buy)	Â (3)	01/18/2021	Common Stock	103,593	\$ 4.28	D	Â
Stock Option (right to buy)	Â (4)	08/06/2022	Common Stock	33,333	\$ 5.01	D	Â
Series 3 Preferred Stock	Â (5)(6)	Â (7)	Common Stock	14,780	\$ (5) (6)	D	Â
Series 4 Preferred Stock	Â (5)(6)	Â (7)	Common Stock	72,601	\$ (5) (6)	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Rossman James C/O TREMOR VIDEO, INC. 53 WEST 23RD STREET NEW YORK, NY 10010	Â X	Â	Â	Â

Signatures

/s/ Adam Lichstein
Attorney-in-Fact

06/26/2013

__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) Grant to the the Reporting Person of a stock option under the ScanScout, Inc. 2006 Stock Plan (the "ScanScout 2006 Plan"). This option is fully vested.
- (2) Grant to the Reporting Person of a stock option under the ScanScout, Inc. 2009 Equity Incentive Plan (the "ScanScout 2009 Plan"). This option is fully vested.
- (3) Grant to the Reporting Person of a stock option under the Issuer's 2008 Stock Plan (the "2008 Plan"). 1/48th of the shares subject to the option vest each month after January 19, 2011. This option will vest in full upon the closing of a change of control transaction.
- (4) Grant to the Reporting Person of a stock option under the Issuer's 2008 Plan. 1/48th of the shares subject to the option vest each month after August 6, 2012. This option will vest in full upon the closing of a change of control transaction.
- (5) This security is convertible at any time into shares of the Issuer's Common Stock on a one-for-one basis at the Reporting Person's election.

The shares will automatically convert on a one-for-one basis into shares of the Issuer's Common Stock immediately upon the closing of a

- (6) Qualified Public Offering (as defined in the Seventh Amended and Restated Certificate of Incorporation, as filed with the State of Delaware on June 13, 2013).

Edgar Filing: TREMOR VIDEO INC. - Form 3

(7) The shares have no expiration date.

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.