BioAmber Inc. Form 4/A February 14, 2014

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB APPROVAL

Number: 3235-0287

January 31,

Expires: 2005
Estimated average

0.5

Estimated average burden hours per response...

if no longer subject to Section 16. Form 4 or Form 5

Check this box

Form 5 obligations may continue. See Instruction

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(b).

(Last)

(City)

1. Name and Address of Reporting Person <u>\*</u> Hartmann Michael A.

(First)

(Street)

(State)

2. Issuer Name **and** Ticker or Trading Symbol

Issuer

188u

(Middle)

(Zip)

BioAmber Inc. [BIOA]
3. Date of Earliest Transaction

\_\_\_\_\_ Director \_\_\_\_\_ 10% Owner \_\_\_\_\_ Nfficer (give title \_\_\_\_\_ Other (specify

5. Relationship of Reporting Person(s) to

(Check all applicable)

(Month/Day/Year) 05/14/2013

C/O BIOAMBER INC., 1250 RENE 05/14/201

below) below)

Executive Vice President

LEVESQUE WEST, SUITE 4110

4. If Amendment, Date Original

P

Filed(Month/Day/Year) 05/16/2013

6. Individual or Joint/Group Filing(Check

Applicable Line)

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

D

Person

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

MONTREAL, A8 H3B4W8

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if any (Month/Day/Year)

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

5. Amount of Securities Form: Di Beneficially (D) or Owned Indirect (Instr. 4) Reported

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Indirect (I) Ownership (Instr. 4) (Instr. 4)

(A) or

Transaction(s)
(Instr. 3 and 4)

Code V Amount (D) Price

Common 05/14/2013

10,000 A <u>П</u> 16,720

Reminder: Report on a separate line for each class of securities beneficially 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 currently valid OMB control number.

SEC 1474

(9-02)

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

#### Edgar Filing: BioAmber Inc. - Form 4/A

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. Transaction Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Common Stock Warrants (right to buy) (2)	(1)	05/14/2013		P	10,000	08/08/2013	05/09/2017	Common Stock	5,000

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Hartmann Michael A. C/O BIOAMBER INC. 1250 RENE LEVESQUE WEST, SUITE 4110 MONTREAL, A8 H3B4W8

**Executive Vice President** 

# **Signatures**

/s/ Jean-Francois Huc, attorney-in-fact for Michael A. Hartmann

02/14/2014

\*\*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).

The reported securities are included within 10,000 Units purchased by the reporting person on May 14, 2013 for \$10.00 per Unit in

connection with the Issuer's initial public offering. Each Unit consists of one share of common stock and one warrant to purchase half of

- one share of common stock. The Units currently trade on the NYSE. The common stock and warrants comprising the Units will begin trading separately on June 10, 2013, at which time trading of the Units will be suspended and the Units will be de-listed. Each warrant will be exercisable during the period commencing on August 8, 2013 and ending at 5:30 p.m. on May 9, 2017 at an exercise price of \$11.00 per whole share of common stock
- (2) This Form 4/A amends the Form 4 filed on May 16, 2013, which inadvertently reported Common Stock Warrants (right to buy) under Disposed Derivative Securities.

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