

THERMAGE INC

Form 3

November 09, 2006

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

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated 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 Buckman Pamela M

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

11/09/2006

3. Issuer Name **and** Ticker or Trading Symbol
THERMAGE INC [THRM]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

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

VP Clinical & Reg Affairs

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting PersonC/O THERMAGE,
INC.,Â 25881 INDUSTRIAL
BOULEVARD

(Street)

HAYWARD,Â CAÂ 94545

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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

56,666

I ⁽¹⁾By David Schlerf and Pamela
Buckman Revocable TrustReminder: Report on a separate line for each class of securities beneficially
owned directly or indirectly.

SEC 1473 (7-02)

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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)3. Title and Amount of
Securities Underlying
Derivative Security4. Conversion
or Exercise5. Ownership
Form of6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

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			(Instr. 4)		Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Employee Stock Option (right to buy)	Â (2)	11/16/2010	Common Stock	3,334 (3)	\$ 0.45	D	Â
Employee Stock Option (right to buy)	Â (4)	09/19/2012	Common Stock	16,250 (5)	\$ 0.45	D	Â
Employee Stock Option (right to buy)	Â (6)	04/03/2013	Common Stock	13,750 (7)	\$ 0.45	D	Â
Employee Stock Option (right to buy)	Â (8)	05/20/2014	Common Stock	30,000	\$ 1.9	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Buckman Pamela M C/O THERMAGE, INC. 25881 INDUSTRIAL BOULEVARD HAYWARD, CA 94545	Â	Â	Â VP Clinical & Reg Affairs	Â

Signatures

/s/ Pamela M.
Buckman

11/09/2006

**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) These reported securities are owned directly by The David Schlerf and Pamela Buckman Revocable Trust fbo David Schlerf and Pamela Buckman and their issue under instrument dated August 16, 1991 and indirectly by Pamela Buckman, as trustees of the aforementioned trust, and Ms. Buckman disclaims beneficial ownership of these securities except to the extent of their pecuniary interests therein.
- (2) This option vests and the shares become exercisable according to the following schedule according to the following schedule: 1/4 on October 30, 2001 and 1/48 on the last day of each full calendar month thereafter.
- (3) The original grant for 40,000 shares was partially exercised as follows: 36,666 shares on July 19, 2004.
- (4) This option vests and the shares become exercisable according to the following schedule according to the following schedule: 1/48 on October 31, 2002 and 1/48 on the last day of each full calendar month thereafter.
- (5) The original grant for 30,000 shares was partially exercised as follows: 13,125 shares on July 19, 2004 and 625 shares on July 31, 2004.
- (6) This option vests and the shares become exercisable according to the following schedule according to the following schedule: 1/48 on May 31, 2003 and 1/48 on the last day of each full calendar month thereafter.
- (7) The original grant for 20,000 shares was partially exercised as follows: 5,833 shares on July 19, 2004 and 417 shares on July 31, 2004.

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- (8) This option vests and the shares become exercisable according to the following schedule according to the following schedule: 1/48 on June 30, 2004 and 1/48 on the last day of each full calendar month thereafter.

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Remarks:

TheÂ DateÂ ofÂ EventÂ isÂ basedÂ uponÂ theÂ dateÂ ofÂ effectivenessÂ ofÂ theÂ Issuer'sÂ RegistrationÂ StatementÂ o

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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