

Stereotaxis, Inc.
Form 4
August 09, 2013

FORM 4

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

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN 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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
MIDDLETON FRED A

(Last) (First) (Middle)

400 SOUTH EL CAMINO
REAL, SUITE 1200

(Street)

SAN MATEO, CA 94402-1708

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
Stereotaxis, Inc. [STXS]

3. Date of Earliest Transaction
(Month/Day/Year)
08/07/2013

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (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 Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	08/07/2013		X	29,248 A \$ 4.1	811,520	I	Sanderling Venture Partners VI Co-Investment Fund, L.P.
Common Stock	08/07/2013		S ⁽¹⁾	11,838 D \$ 10.13	799,682	I	Sanderling Venture Partners VI Co-Investment Fund, L.P.
Common Stock	08/07/2013		X	149,849 A \$ 3.36	949,531	I	Sanderling Venture

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								Partners VI Co-Investment Fund, L.P.
Common Stock	08/07/2013	<u>S(2)</u>	49,718	D	\$ 10.13	899,813	I	Sanderling Venture Partners VI Co-Investment Fund, L.P.
Common Stock	08/07/2013	X	75,759	A	\$ 1.98	975,572	I	Sanderling Venture Partners VI Co-Investment Fund, L.P.
Common Stock	08/07/2013	<u>S(3)</u>	14,808	D	\$ 10.13	960,764	I	Sanderling Venture Partners VI Co-Investment Fund, L.P.
Common Stock	08/07/2013	X	675	A	\$ 4.1	4,322	I	Sanderling VI Limited Partnership
Common Stock	08/07/2013	<u>S(4)</u>	273	D	\$ 10.13	4,049	I	Sanderling VI Limited Partnership
Common Stock	08/07/2013	X	3,455	A	\$ 3.36	7,504	I	Sanderling VI Limited Partnership
Common Stock	08/07/2013	<u>S(5)</u>	1,146	D	\$ 10.13	6,358	I	Sanderling VI Limited Partnership
Common Stock	08/07/2013	X	566	A	\$ 4.1	3,626	I	Sanderling VI Beteiligungs GmbH & Co. KG
Common Stock	08/07/2013	<u>S(6)</u>	229	D	\$ 10.13	3,397	I	Sanderling VI Beteiligungs GmbH & Co. KG
Common Stock	08/07/2013	X	2,900	A	\$ 3.36	6,297	I	Sanderling VI Beteiligungs GmbH & Co. KG
Common Stock	08/07/2013	<u>S(7)</u>	962	D	\$ 10.13	5,335	I	Sanderling VI Beteiligungs GmbH & Co.

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			KG
Common Stock	88,072	D	
Common Stock	28,117	I	Sanderling Ventures Management VI
Common Stock	1,500	I	Sanderling Mgmt. LLC 401K Pension Profit Sharing Plan
Common Stock	53,275	I	Sanderling IV Biomedical Co-Investment Fund, L.P.
Common Stock	11,097	I	Sanderling V Beteiligungs GmbH & Co. KG
Common Stock	39,716	I	Sanderling V Biomedical Co-Investment Fund, L.P.
Common Stock	11,956	I	Sanderling V Limited Partnership
Common Stock	67,790	I	Sanderling Venture Partners V Co-Investment Fund, L.P.
Common Stock	22,451	I	Sanderling Venture Partners IV Co-Investment Fund
Common Stock	82	I	Sanderling Ventures Management V
Common Stock	79	I	Middleton McNeil Retirement Trust

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

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(9-02)

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

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 Derivative 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 Number Shares
Common Stock Warrant (right to buy)	\$ 4.1	08/07/2013		X	29,248	05/01/2012	05/01/2017	Common Stock	29,248
Common Stock Warrant (right to buy)	\$ 3.36	08/07/2013		X	149,849	05/07/2012	05/07/2017	Common Stock	149,849
Common Stock Warrant (right to buy)	\$ 1.98	08/07/2013		X	75,759	03/29/2013	03/29/2018	Common Stock	75,759
Common Stock Warrant (right to buy)	\$ 4.1	08/07/2013		X	675	05/01/2012	05/01/2017	Common Stock	675
Common Stock Warrant (right to buy)	\$ 3.36	08/07/2013		X	3,455	05/07/2012	05/07/2017	Common Stock	3,455
Common Stock Warrant (right to buy)	\$ 4.1	08/07/2013		X	566	05/01/2012	05/01/2017	Common Stock	566

Common
Stock
Warrant
(right to
buy)

\$ 3.36 08/07/2013

X

2,900 05/07/2012 05/07/2017

Common
Stock 2,900

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

MIDDLETON FRED A
400 SOUTH EL CAMINO REAL
SUITE 1200
SAN MATEO, CA 94402-1708

X

Signatures

/s/ Karen W. Duros,
Attorney-in-Fact

08/09/2013

__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).

(1) On August 7, 2013, the reporting person exercised a warrant to purchase 29,248 shares of Stereotaxis, Inc. common stock for \$4.10 per share. The reporting person paid the exercise price on a cashless basis, resulting in Stereotaxis, Inc. withholding 11,838 shares to pay the exercise price and issuing to the reporting person the remaining 17,410 shares.

(2) On August 7, 2013, the reporting person exercised a warrant to purchase 149,849 shares of Stereotaxis, Inc. common stock for \$3.36 per share. The reporting person paid the exercise price on a cashless basis, resulting in Stereotaxis, Inc. withholding 49,718 shares to pay the exercise price and issuing to the reporting person the remaining 100,131 shares.

(3) On August 7, 2013, the reporting person exercised a warrant to purchase 75,759 shares of Stereotaxis, Inc. common stock for \$1.98 per share. The reporting person paid the exercise price on a cashless basis, resulting in Stereotaxis, Inc. withholding 14,808 shares to pay the exercise price and issuing to the reporting person the remaining 60,951 shares.

(4) On August 7, 2013, the reporting person exercised a warrant to purchase 675 shares of Stereotaxis, Inc. common stock for \$4.10 per share. The reporting person paid the exercise price on a cashless basis, resulting in Stereotaxis, Inc. withholding 273 shares to pay the exercise price and issuing to the reporting person the remaining 402 shares.

(5) On August 7, 2013, the reporting person exercised a warrant to purchase 3,455 shares of Stereotaxis, Inc. common stock for \$3.36 per share. The reporting person paid the exercise price on a cashless basis, resulting in Stereotaxis, Inc. withholding 1,146 shares to pay the exercise price and issuing to the reporting person the remaining 2,309 shares.

(6) On August 7, 2013, the reporting person exercised a warrant to purchase 566 shares of Stereotaxis, Inc. common stock for \$4.10 per share. The reporting person paid the exercise price on a cashless basis, resulting in Stereotaxis, Inc. withholding 229 shares to pay the exercise price and issuing to the reporting person the remaining 337 shares.

(7) On August 7, 2013, the reporting person exercised a warrant to purchase 2,900 shares of Stereotaxis, Inc. common stock for \$3.36 per share. The reporting person paid the exercise price on a cashless basis, resulting in Stereotaxis, Inc. withholding 962 shares to pay the exercise price and issuing to the reporting person the remaining 1,938 shares.

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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