

Stereotaxis, Inc.
Form 4
August 09, 2013

FORM 4

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

OMB APPROVAL

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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

(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) | | | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|---------|---|---|
| | | | Code | V | Amount | (A) or (D) | Price | | | |
| 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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| | | | | | | | | |
|--------------|------------|-------------|--------|---|----------|---------|---|---|
| Common Stock | 08/07/2013 | <u>S(2)</u> | 49,718 | D | \$ 10.13 | 899,813 | I | Partners VI Co-Investment Fund, L.P. 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 \$ 3.36 08/07/2013 X 2,900 05/07/2012 05/07/2017 Common Stock 2,900
(right to buy)

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, 08/09/2013
Attorney-in-Fact

**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. 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.