## Edgar Filing: CHALMERS DEREK T - Form 4

| Form 4  |  |  |  |  |  |
|---|--|--|--|--|--|
| February 21, 2018   |  |  |  |  |  |
| FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION   | OMB APPROVAL   |  |  |  |  |
|   | OMB 3235-0287 Number:                                      |  |  |  |  |
| Check this box  | January 31   |  |  |  |  |
| STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF   | Expires: 2005  |  |  |  |  |
|   | Estimated average burden hours per                         |  |  |  |  |
|   | response 0.5   |  |  |  |  |
| Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,                          |  |  |  |  |  |
| obligations<br>may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section |  |  |  |  |  |
| See Instruction 30(h) of the Investment Company Act of 1940   |  |  |  |  |  |
| 1(b).   |  |  |  |  |  |
| (Print or Type Responses)   |  |  |  |  |  |
|   | eporting Person(s) to                                      |  |  |  |  |
| CHALMERS DEREK T Symbol Issuer  |  |  |  |  |  |
| Cara Therapeutics, Inc. [CARA] (Check a   | all applicable)  |  |  |  |  |
| (Last) (First) (Middle) 3. Date of Earliest Transaction   | in appricable)   |  |  |  |  |
| (Month/Day/Year)X_ Director   | 10% Owner  |  |  |  |  |
| C/O CARA THERAPEUTICS, 02/16/2018X_Officer (give tit below)   | tle Other (specify below)                                  |  |  |  |  |
|   | lent & CEO   |  |  |  |  |
| FLOOR   |  |  |  |  |  |
|   | t/Group Filing(Check                                       |  |  |  |  |
|   | Applicable Line)<br>_X_ Form filed by One Reporting Person |  |  |  |  |
|   | re than One Reporting                                      |  |  |  |  |
| (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, o                       | or Beneficially Owned                                      |  |  |  |  |
|   | Ownership 7. Nature of                                     |  |  |  |  |
|   | orm: Direct Indirect                                       |  |  |  |  |
| (Instr. 3) any Code Disposed of (D) Beneficially (D   | D) or Beneficial   |  |  |  |  |
|   | direct (I) Ownership<br>nstr. 4) (Instr. 4)                |  |  |  |  |
| Reported  | ISU. 4) (IIISU. 4)   |  |  |  |  |
| (A) Transaction(s)  |  |  |  |  |  |
| Code V Amount (D) Price (Instr. 3 and 4)  |  |  |  |  |  |
| Common<br>Stock $02/16/2018$ $S_{(1)}$ $5,400$ D $$15 \\ (2)$ $1,071,392$ D                             |  |  |  |  |  |

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.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transacti<br>Code<br>(Instr. 8) | <ol> <li>6. Date Exerci</li> <li>CtionNumber Expiration Date</li> <li>of (Month/Day/Y)</li> <li>8) Derivative</li> <li>Securities</li> <li>Acquired</li> <li>(A) or</li> <li>Disposed</li> <li>of (D)</li> <li>(Instr. 3,</li> </ol> |                     | Date               | Amou<br>Under<br>Secur | rlying                                 | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secu<br>Bene<br>Own<br>Follo<br>Repo<br>Trans<br>(Instr |
|---|---|---|---|---------------------------------------|--|---------------------|--------------------|------------------------|--|---|---|
|   |   |   |   | Code V                                | 4, and 5)<br>(A) (D)   | Date<br>Exercisable | Expiration<br>Date | Title                  | Amount<br>or<br>Number<br>of<br>Shares |   |   |

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## **Reporting Owners**

| Reporting Owner Name / Address   | Relationships |           |                 |       |  |  |  |
|--|---------------|-----------|-----------------|-------|--|--|--|
| IB   | Director      | 10% Owner | Officer         | Other |  |  |  |
| CHALMERS DEREK T<br>C/O CARA THERAPEUTICS, INC.<br>107 ELM STREET, 9TH FLOOR<br>STAMFORD, CT 06902 | Х             |           | President & CEO |       |  |  |  |
| Signatures   |               |           |                 |       |  |  |  |
| /s/Darren DeStefano,<br>Attorney-in-Fact   | 02/2          | 21/2018   |                 |       |  |  |  |
| **Signature of Reporting Person  | 1             | 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) This sale was effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on May 15, 2017.

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$15.00 - \$15.05, inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the

(2) Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in footnote (2) to this Form 4.

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.