SEC Form 4

FORM 4

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

OMB APPROVAL

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

| | ss of Reporting Perso | on* | 2. Issuer Name and Ticker or Trading Symbol Stereotaxis, Inc. [STXS] | | tionship of Reporting Pers all applicable) | on(s) to Issuer | | |
|------------------------------------|-----------------------|----------|---|---|---|-----------------|--|--|
| <u>Mills Willian</u> | <u>I C. III</u> | | | X | Director | 10% Owner | | |
| | | | | x | Officer (give title | Other (specify | | |
| (Last) | (First) | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year) | | below) | below) | | |
| C/O STEREOT | AXIS, INC. | | 09/23/2015 | | Chief Executive | Officer | | |
| 4320 FOREST PARK AVENUE, SUITE 100 | | | | | | | | |
| | | | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Individual or Joint/Group Filing (Check Applicable | | | | |
| (Street) | | | | Line) | | | | |
| ST. LOUIS MO | | 63108 | | X | Form filed by One Reporting Person | | | |
| | | | | | Form filed by More than | One Reporting | | |
| (Cit.) | (Ctoto) | (7:0) | | | Person | | | |
| (City) | (State) | (Zip) | | | | | | |

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

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | Execution Date, | | iction Instr. | | | | 5. Amount of Securities Beneficially Owned Following Reported | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership |
|---------------------------------|--|-----------------|------|------------------|--------------------------------|---------------|---------------------|---|---|---|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | (Instr. 4) |
| Common Stock | 09/23/2015 | | X | | 2 9, 878 ⁽¹⁾ | Α | \$ <mark>1.1</mark> | 298,990 | D | |

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. Transa Code (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 Securities Underlying Derivative Security (Instr. 3 and 4) | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---|---|--|---|------------------------------|---|--|-----------------------|--|--------------------|---|--|---|--|--|--|
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | Transaction(s) (Instr. 4) | | |
| Common Shares | \$1.1 | 09/23/2015 | | x | | | 29,878 ⁽²⁾ | 09/09/2015 | 09/30/2015 | Common Stock | 29,878 | \$0 | 0 | D | |

Explanation of Responses:

1. Shares to be settled following the closing of the offering period for warrants, which is expected to be September 30, 2015.

2. The Company issued to each holder of record, as of September 9, 2015, and certain warrant holders, subscription warrants to acquire shares of common stock of Stereotaxis, Inc. in accordance with a prospectus dated September 4, 2015. Each subscription warrant entitles the holder to purchase one share of Stereotaxis, Inc. common stock.

Remarks:

<u>/s/ Karen W. Duros, Attorney-</u> in-Fact

09/24/2015

Date

** Signature of Reporting Person

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

* 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).

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

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 Number.