Sullivan Keith J Form 3 August 08, 2017

## FORM 3

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

OMB APPROVAL

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# 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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement Sientra, Inc. [SIEN] Sullivan Keith J (Month/Day/Year) 08/04/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 420 SOUTH FAIRVIEW (Check all applicable) AVENUE,, SUITE 200 (Street) 6. Individual or Joint/Group 10% Owner \_X\_ Director Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Person **SANTA** Form filed by More than One BARBARA. CAÂ 93117 Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 5) (Instr. 4) Form: Direct (D) or Indirect (I) (Instr. 5) Â  $60,000^{(1)}$ Common Stock (RSU) D Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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 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)	Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative	5. Ownership Form of Derivative Security:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
		Title	Security	Direct (D)	

#### Edgar Filing: Sullivan Keith J - Form 3

Date Expiration Amount or or Indirect Exercisable Date Number of (I) Shares (Instr. 5)

### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Sullivan Keith J

420 SOUTH FAIRVIEW AVENUE, SUITE 200

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SANTA BARBARA, CAÂ 93117

## **Signatures**

/s/ Keith 08/08/2017 Sullivan

\*\*Signature of Date
Reporting Person

### **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).

Reporting Owner was granted a restricted stock unit award for 60,000 shares on June 11, 2017, which will vest in four quarterly installments as follows: (i) 20,000 shares shall vest on the first business day after the quarter ending September 30, 2017, (ii) 20,000

(1) shares shall vest on the first business day after the quarter ending December 31, 2017, (iii) 10,000 shares shall vest on the first business day after the quarter ending March 31, 2018, and (iv) 10,000 shares shall vest on the first business day after the quarter ending June 30, 2018, subject to Reporting Owner's continued service.

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.

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