

Houk Thomas J  
 Form 3  
 February 11, 2019

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0104  
 Expires: January 31, 2005  
 Estimated average burden hours per response... 0.5

**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 Person *		2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol	
Houk Thomas J		(Month/Day/Year)	TRUPANION, INC. [TRUP]	
(Last)	(First)	(Middle)	02/01/2019	
6100 4TH AVENUE, SUITE 200			4. Relationship of Reporting Person(s) to Issuer	5. If Amendment, Date Original Filed(Month/Day/Year)
(Street)			(Check all applicable)	
SEATTLE, WA 98108			<input type="checkbox"/> Director <input type="checkbox"/> 10% Owner	6. Individual or Joint/Group Filing(Check Applicable Line)
(City)	(State)	(Zip)	<input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other	<input checked="" type="checkbox"/> Form filed by One Reporting Person
			Chief Member Exper. Officer	<input type="checkbox"/> Form filed by More than One Reporting Person

**Table I - Non-Derivative Securities Beneficially Owned**

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Common Stock	15,500	D	

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

SEC 1473 (7-02)

**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)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
--	--	---	--	--	---

Edgar Filing: Houk Thomas J - Form 3

	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	Â (1)	11/07/2023	Common Stock	5,000	\$ 4.8	D	Â
Stock Option (right to buy)	Â (2)	09/26/2024	Common Stock	35,000	\$ 8.74	D	Â
Stock Option (right to buy)	Â (3)	07/24/2025	Common Stock	9,156	\$ 7.78	D	Â
Stock Option (right to buy)	Â (4)	07/22/2026	Common Stock	7,650	\$ 15.46	D	Â
Stock Option (right to buy)	Â (5)	05/04/2027	Common Stock	23,448	\$ 17.97	D	Â
Restricted Stock Unit (RSU)	Â (6)	02/25/2022	Common Stock	19,512	\$ 0	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Houk Thomas J 6100 4TH AVENUE SUITE 200 SEATTLE, WA 98108	Â	Â	Â Chief Member Exper. Officer	Â

## Signatures

/s/ Charlotte Sim-Warner as attorney-in-fact for Thomas J. Houk 02/11/2019

\_\_Signature of Reporting Person

Date

## 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).
- (1) The option vested as to 25% of the total shares on November 8, 2014, and then 2.0833% of the total shares vested monthly thereafter, with 100% of the total shares vested and exercisable on November 8, 2017.
- (2) The option vested as to 25% of the total shares on August 1, 2015, and then 2.0833% of the total shares vested monthly thereafter, with 100% of the total shares vested and exercisable on August 1, 2018.
- (3) The option vests as to 25% of the total shares on July 24, 2016, and then 2.0833% of the total shares vest monthly thereafter, with 100% of the total shares vested and exercisable on July 24, 2019, subject to the reporting person's provision of service to the issuer on each vesting date.
- (4) The option vests as to 25% of the total shares on July 22, 2017, and then 2.0833% of the total shares vest monthly thereafter, with 100% of the total shares vested and exercisable on July 22, 2020, subject to the reporting person's provision of service to the issuer on each vesting date.
- (5) The option vests as to 25% of the total shares on May 4, 2018, and then 2.0833% of the total shares vest monthly thereafter, with 100% of the total shares vested and exercisable on May 4, 2021, subject to the reporting person's provision of service to the issuer on each vesting date.

Edgar Filing: Houk Thomas J - Form 3

- (6) The RSU vests and will convert to common stock of the Issuer as to 1/4th of the total shares on February 25, 2019, after which 1/16th of the total shares vest quarterly, subject to continued service through each vesting date.

Â

**Remarks:**

TheÂ issuerÂ appointedÂ theÂ reportingÂ personÂ asÂ aÂ SectionÂ 16Â OfficerÂ effectiveÂ onÂ FebruaryÂ 1,Â 2019.

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.