### Edgar Filing: Menzaghi Frederique Ph.D. - Form 4

| Form 4  | ederique Ph.D   |                     |   |  |   |  |   |   |  |          |  |
|---|---|---------------------|---|--|---|--|---|---|--|----------|--|
| May 25, 2018  | ГЛ  |                     |   |  | COMMISSION                                      | OMB APPROVAL<br>N OMB 3235-0287<br>Number: |   |   |  |          |  |
| Check thi<br>if no long<br>subject to<br>Section 14<br>Form 4 or<br>Form 5<br>obligation<br>may conti<br><i>See</i> Instru<br>1(b). | Washington, D.C. 20549<br>F CHANGES IN BENEFICIAL OWNERSHIP OF<br>SECURITIES<br>Section 16(a) of the Securities Exchange Act of 1934,<br>Public Utility Holding Company Act of 1935 or Section<br>of the Investment Company Act of 1940 |                     |   |  |   |  | Expires:January 31,<br>2005Estimated average<br>burden hours per<br>response0.5 |   |  |          |  |
| (Print or Type R  | Responses)  |                     |   |  |   |  |   |   |  |          |  |
| Menzaghi Frederique Ph.D. Syn   |   |                     | Symbol  | Name and                               |   |  | -   | 5. Relationship of Reporting Person(s) to<br>Issuer   |  |          |  |
| (   |   |                     | 3. Date of Earliest Transaction<br>(Month/Day/Year)<br>05/23/2018 |  |   |  |   | (Check all applicable)<br><u></u> Director <u></u> 10% Owner<br><u></u> Officer (give title <u></u> Other (specify<br>below) <u></u> below)<br>Sr VP-Research & Development           |  |          |  |
|   |   |                     |   | ndment, Date Original<br>nth/Day/Year) |   |  |   | <ul> <li>6. Individual or Joint/Group Filing(Check Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> <li> Form filed by More than One Reporting Person</li> </ul> |  |          |  |
| (City)  | (State)   | (Zip)               | Tabl  | e I - Non-E                            | Derivative                                      | Secur                                      | ities Acq   | uired, Disposed of  | , or Beneficial  | ly Owned |  |
| 1.Title of<br>Security<br>(Instr. 3)  | 2. Transaction D<br>(Month/Day/Yea  | ar) Executio<br>any | med<br>n Date, if<br>Day/Year)                                    | Code<br>(Instr. 8)                     | 4. Securi<br>on(A) or D<br>(Instr. 3,<br>Amount | ispose<br>4 and<br>(A)<br>or               | d of (D)  | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4)  | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) |          |  |
| Common<br>Stock   | 05/23/2018  |                     |   | S <u>(1)</u>                           | 9,000   | D  | \$<br>15.19<br>(2)  | 110,000   | 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 | 3. Transaction Date<br>(Month/Day/Year) | 4.<br>Transacti<br>Code<br>(Instr. 8) | 5.<br>onNumber<br>of<br>Derivative | 6. Date Exer<br>Expiration D<br>(Month/Day/<br>e | Date               | 7. Title an<br>Amount o<br>Underlyin<br>Securities | of Der<br>ng Sec | Price of<br>rivative<br>curity<br>(str. 5) | 9. Nu<br>Deriv<br>Secu<br>Bene |
|---|---|---|---------------------------------------|------------------------------------|--|--------------------|--|------------------|--|--------------------------------|
|   | Derivative<br>Security                      |   |                                       | Securities<br>Acquired             |  |                    | (Instr. 3 a  | ind 4)           |  | Owne<br>Follo                  |
|   |   |   |                                       | (A) or                             |  |                    |  |                  |  | Repo                           |
|   |   |   |                                       | Disposed<br>of (D)                 |  |                    |  |                  |  | Trans<br>(Instr                |
|   |   |   |                                       | (Instr. 3,                         |  |                    |  |                  |  |                                |
|   |   |   |                                       | 4, and 5)                          |  |                    |  |                  |  |                                |
|   |   |   |                                       |                                    | D  | <b>T</b>           | or   | nount            |  |                                |
|   |   |   |                                       |                                    | Date<br>Exercisable                              | Expiration<br>Date | Title Nu   | ımber            |  |                                |
|   |   |   | Code V                                | (A) (D)                            |  |                    | of<br>Sha  | ares             |  |                                |
|   |   |   |                                       |                                    |  |                    |  |                  |  |                                |
| Pono  | d   | whore                                   |                                       |                                    |  |                    |  |                  |  |                                |

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## **Reporting Owners**

| Reporting Owner Name / Addr   | 'ess        | Relationships |           |                                 |       |  |  |  |
|---|-------------|---------------|-----------|---------------------------------|-------|--|--|--|
|   |             | Director      | 10% Owner | Officer                         | Other |  |  |  |
| Menzaghi Frederique Ph.D.<br>C/O CARA THERAPEUTICS, INC.<br>4 STAMFORD PLAZA, 107 ELM ST.<br>STAMFORD, CT 06902 | , 9TH FLOOR |               |           | Sr VP-Research &<br>Development |       |  |  |  |
| Signatures  |             |               |           |                                 |       |  |  |  |
| /s/Darren DeStefano,<br>Attorney-in-Fact  | 05/25/2018  |               |           |                                 |       |  |  |  |

\*\*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) This sale was effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on May 19, 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 - \$15.34, inclusive. The reporting person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff of the Securities

(2) and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range 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.