

CareDx, Inc.  
Form SC 13G/A  
January 18, 2019

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

**SCHEDULE 13G/A**

**Under the Securities Exchange Act of 1934**

**(Amendment No. 7)\***

**CareDx, Inc.**  
(Name of Issuer)

**Common Stock, par value \$0.001 per share**  
(Title of Class of Securities)

**14167L103**  
(CUSIP Number)

**December 31, 2018**  
(Date of Event Which Requires Filing of this Statement)

Check the  
appropriate box  
to designate the  
rule pursuant to  
which this  
Schedule is  
filed:

- Rule 13d-1(b)
- Rule 13d-1(c)
- Rule 13d-1(d)

\*The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter the disclosures provided in a prior cover page.

The information required in the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Notes).

CUSIP No. 14167L103 13G/A Page 2 of 7

Names Of Reporting Persons

1. **Gagnon Securities LLC**

2. check the appropriate box if a (a) o  
 group (b) x  
 3. sec use only

citizenship or place of  
 organization

4. **Delaware Limited Liability  
 Company**

number of	5. sole voting power	0
shares	6. shared voting power	1,485,475
beneficially	7. sole dispositive power	0
owned by		
each	8. shared dispositive power	1,663,165
reporting		
person with:		
9.	aggregate amount beneficially owned by each reporting person	1,663,165
10.	check box if the aggregate amount in row (9) excludes certain shares (See o Instructions)	
11.	percent of class represented by amount in row (9)	4.0%
12.	type of reporting person (See Instructions)	<b>IA, BD</b>

CUSIP No. 14167L103 13G/A Page 3 of 7

Names Of Reporting Persons

1. **Neil Gagnon**

2. check the appropriate box if a (a) o  
 group (b) x  
 3. sec use only

citizenship or place of  
 organization

4. **USA**

number of	5. sole voting power	242,378
shares	6. shared voting power	2,231,522
beneficially	7. sole dispositive power	242,378
owned by		
each	8. shared dispositive power	2,415,831
reporting		
person with:		

9.	aggregate amount beneficially owned by each reporting person	2,658,209
----	--	-----------

10. check box if the aggregate amount in  
 row (9) excludes certain shares (See o  
 Instructions)

11.	percent of class represented by amount in row (9)	6.4%
-----	--	------

12.	type of reporting person (See Instructions)	IN
-----	--	----

CUSIP No. 14167L103 13G/A Page 4 of 7

**Item 1.**

(a) Name of Issuer: CareDx, Inc.

(b) Address of Issuer's Principal Executive Offices: 3260 Bayshore Boulevard  
Brisbane, California 94005

**Item 2.**

Neil Gagnon has sole voting and dispositive power over 242,378 shares of the Issuer's Common Stock, par value \$0.001 per share (the "common stock"). In addition, Mr. Gagnon has shared voting power over 2,231,522 shares of the Issuer's common stock and shared dispositive power over 2,415,831 shares of common stock.

Mr. Gagnon is the managing member and principal owner of Gagnon Securities LLC ("GS"), an investment adviser registered with the U.S. Securities and Exchange Commission ("SEC") under the Investment Advisers Act of 1940, as amended (the "Advisers Act"), and a registered broker-dealer, in its role as Name of investment manager to several customer accounts, foundations, partnerships and trusts (collectively, the (a) Person "Accounts") to which it furnishes investment advice. GS and Mr. Gagnon may be deemed to share voting Filing: power with respect to 1,485,475 shares of common stock held in the Accounts and dispositive power with respect to 1,663,165 shares of the Issuer's common stock held in the Accounts. GS and Mr. Gagnon expressly disclaim beneficial ownership of all securities held in the Accounts.

Mr. Gagnon is also the Chief Executive Officer of Gagnon Advisors, LLC ("Gagnon Advisors"), an investment adviser registered with the SEC under the Advisers Act. Mr. Gagnon and Gagnon Advisors, in its role as investment manager to Gagnon Investment Associates, LLC ("GIA"), a private investment fund, may be deemed to share voting and dispositive power with respect to the 634,403 shares of the Issuer's common stock held by GIA. Gagnon Advisors and Mr. Gagnon expressly disclaim beneficial ownership of all securities held by GIA.

(b) Address of Principal Business Office: 1370 Ave. of the Americas, 24<sup>th</sup> Floor  
or, if none, Residence: New York, NY 10019

(c) Citizenship: Gagnon Securities LLC Delaware Limited Liability Company  
Neil Gagnon USA

(d) Title of Class of Securities: Common Stock, par value \$0.001 per share

(e) CUSIP Number: 14167L103



CUSIP No. 14167L103 13G/A Page 5 of 7

**Item 3.** If this statement is filed pursuant to §§240.13d-1(b) or 13d-2(b) or (c), check whether the person filing is  
**a:**

- (a)  Broker or dealer registered under section 15 of the Act (15 U.S.C. 78o).
- (b)  Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c).
- (c)  Insurance company as defined in section 3(a)(19) of the Act (15 U.S.C. 78c).
- (d)  Investment company registered under section 8 of the Investment Company Act of 1940 (15 U.S.C. 80a-8).
- (e)  An investment adviser in accordance with §240.13d-1(b)(1)(ii)(E);
- (f)  An employee benefit plan or endowment fund in accordance with §240.13d-1(b)(1)(ii)(F);
- (g)  A parent holding company or control person in accordance with § 13d-1(b)(1)(ii)(G);
- (h)  A savings associations as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);
- (i)  A church plan that is excluded from the definition of an investment company under section 3(c)(14) of the Investment Company Act of 1940 (15U.S.C. 80a-3);
- (j)  A non-U.S. institution in accordance with §240.13d-1(b)(1)(ii)(J);
- (k)  Group, in accordance with §240.13d-1(b)(1)(ii)(K). If filing as a non-U.S. institution in accordance with §240.13d-1(b)(1)(ii)(J), please specify the type of institution: \_\_\_\_\_

CUSIP No. 14167L103 13G/A Page 6 of 7

**Item 4. Ownership.**

Provide the following information regarding the aggregate number and percentage of the class of securities of the issuer identified in Item 1.

Amount  
 (a) beneficially owned: Gagnon Securities LLC: 1,663,165  
 Neil Gagnon: 2,658,209

(b) Percent of class: Gagnon Securities LLC: 4.0%  
 Neil Gagnon: 6.4%

Calculation of percentage of beneficial ownership is based on 41,390,429 shares outstanding, which is derived from 40,784,111 shares of common stock outstanding as of November 14, 2018, as disclosed in the Issuer's prospectus supplement filed on November 14, 2018 pursuant to Rule 424(b)(5) to the prospectus in the registration statement on Form S-3 (Registration No. 333-227168), plus (i) an additional 300,000 shares issued in connection with the exercise in full by the underwriters of their option to purchase up to 300,000 additional shares of common stock pursuant to the foregoing registration statement, and (ii) 306,318 warrants to purchase shares of common stock held by the Reporting Persons.

(c) Number of shares as to which the person has:

(i) Sole power to vote or to direct the vote: Gagnon Securities LLC: 0  
 Neil Gagnon: 242,378

(ii) Shared power to vote or to direct the vote: Gagnon Securities LLC: 1,485,475  
 Neil Gagnon: 2,231,522

(iii) Sole power to dispose or to direct the disposition of: Gagnon Securities LLC: 0  
 Neil Gagnon: 242,378

(iv) Shared power to dispose or to direct the disposition of: Gagnon Securities LLC: 1,663,165  
 Neil Gagnon: 2,415,831

**Item 5. Ownership of Five Percent or Less of a Class.**

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following o.

**Item 6. Ownership of More than Five Percent on Behalf of Another Person.**

Edgar Filing: CareDx, Inc. - Form SC 13G/A

The Accounts described above in Item 2 have the right to receive or the power to direct the receipt of dividends from, or the proceeds from the sale of, securities held in their respective accounts. To the knowledge of the Reporting Persons the interest in any such account does not exceed 5% of the class of securities. Except to the extent described herein, the Reporting Person disclaims beneficial ownership of all such securities.

**Items 7 – 9 Not Applicable.**



CUSIP No. 14167L103 13G/A **Page 7 of 7**

**Item 10. Certification.**

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect, other than activities solely in connection with a nomination under Section 230.14a-11.

**SIGNATURE**

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: January 18, 2019

NEIL GAGNON

/s/ Neil Gagnon

GAGNON SECURITIES LLC

/s/ Neil Gagnon

Name: Neil Gagnon

Title: Managing Member