

☐ Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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 APPROVAL	
OMB Number:	3235-0287
Estimated average burden hours per response:	0.5

1. Name and Address of Reporting Person* <u>Puissance Cross-Border Opportunities V LLC</u> (Last) (First) (Middle) <u>950 THIRD AVENUE</u> <u>25TH FL</u> (Street) <u>NEW YORK</u> <u>NY</u> <u>10022</u> (City) (State) (Zip)	2. Issuer Name and Ticker or Trading Symbol <u>Tracon Pharmaceuticals, Inc. [TCON]</u>	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director <input checked="" type="checkbox"/> 10% Owner Officer (give title below) Other (specify below)
	3. Date of Earliest Transaction (Month/Day/Year) <u>11/29/2018</u>	
		4. If Amendment, Date of Original Filed (Month/Day/Year) <u>12/03/2018</u>

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Common Stock	11/29/2018		P		4,326	A	\$1.13	4,606,094	I ⁽⁴⁾	By funds
Common Stock	11/29/2018		S		4,326	D	\$1.21	4,601,768	I ⁽⁴⁾	By funds
Common Stock								4,601,768	I ⁽¹⁾	By funds

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. Transaction Code (Instr. 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 Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V		Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Warrants (right to buy)	\$2.7						03/27/2018	03/27/2024	Common Stock	4,601,768		4,601,768	I ⁽²⁾⁽³⁾	By funds

1. Name and Address of Reporting Person* <u>Puissance Cross-Border Opportunities V LLC</u> (Last) (First) (Middle) <u>950 THIRD AVENUE</u> <u>25TH FL</u> (Street) <u>NEW YORK</u> <u>NY</u> <u>10022</u> (City) (State) (Zip)		
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1. Name and Address of Reporting Person* <u>Puissance Cross-Border Opportunities IV LLC</u> (Last) (First) (Middle) <u>950 THIRD AVENUE</u> <u>25TH FL</u> (Street) <u>NEW YORK</u> <u>NY</u> <u>10022</u> (City) (State) (Zip)		
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1. Name and Address of Reporting Person*		
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Puissance Life Science Opportunities Fund VI

(Last)	(First)	(Middle)
950 THIRD AVENUE		
FL 25		
(Street)		
NEW YORK	NY	10022
(City)	(State)	(Zip)

1. Name and Address of Reporting Person*

Puissance Capital Management LP

(Last)	(First)	(Middle)
950 THIRD AVENUE, 25TH FLOOR		
(Street)		
NEW YORK	NY	10022
(City)	(State)	(Zip)

1. Name and Address of Reporting Person*

Puissance Capital Management (GP) LLC

(Last)	(First)	(Middle)
950 THIRD AVENUE		
25TH FLOOR		
(Street)		
NEW YORK	NY	10022
(City)	(State)	(Zip)

1. Name and Address of Reporting Person*

Puissance Capital Fund (GP) LLC

(Last)	(First)	(Middle)
950 THIRD AVENUE		
25TH FLOOR		
(Street)		
NEW YORK	NY	10022
(City)	(State)	(Zip)

1. Name and Address of Reporting Person*

Wang Theodore T

(Last)	(First)	(Middle)
C/O PUISSANCE CAPITAL MANAGEMENT LP		
950 THIRD AVENUE, 25TH FLOOR		
(Street)		
NEW YORK	NY	10022
(City)	(State)	(Zip)

Explanation of Responses:

1. Consists of: 2,831,857 Shares directly owned by Puissance Cross-Border Opportunities V LLC; 1,769,911 Shares directly owned Puissance Cross-Border Opportunities IV LLC.
2. Consists of: 2,831,857 Warrants directly owned by Puissance Cross-Border Opportunities V LLC; 1,769,911 Warrants directly owned Puissance Cross-Border Opportunities IV LLC.
3. Puissance Capital Fund (GP) LLC serves as the managing member of Puissance Cross-Border Opportunities V LLC, Puissance Life Science Opportunities Fund VI and Puissance Cross-Border Opportunities IV LLC and may be deemed to beneficially own these shares. Puissance Capital Management LP serves as the investment manager of Puissance Cross-Border Opportunities V LLC, Puissance Life Science Opportunities Fund VI and Puissance Cross-Border Opportunities IV LLC and may be deemed to beneficially own these shares. Puissance Capital Management (GP) LLC serves as the general partner to Puissance Capital Management LP and may be deemed to beneficially own these shares. Theodore T. Wang serves as the managing member of Puissance Capital Fund (GP) LLC and Puissance Capital Management (GP) LLC and may be deemed to beneficially own these shares.
4. The purchase and sale of 4,326 shares of Common Stock were under the fund Puissance Life Science Opportunities Fund VI.

Theodore T. Wang 12/03/2018
Puissance Cross-Border Opportunities V LLC, By:
Puissance Capital Fund (GP) LLC, its managing member, 12/03/2018
By: Theodore T. Wang

<u>Puissance Cross-Border Opportunities IV LLC, By: Puissance Capital Fund (GP) LLC, its managing member, By: Theodore T. Wang</u>	<u>12/03/2018</u>
<u>Puissance Life Science Opportunities Fund VI, By: Puissance Capital Fund (GP) LLC, its managing member, By: Theodore T. Wang</u>	<u>12/03/2018</u>
<u>Puissance Capital Fund (GP) LLC, By: Theodore T. Wang, Managing Member</u>	<u>12/03/2018</u>
<u>Puissance Capital Management LP, By: Puissance Capital Management (GP) LLC, its general partner, By: Theodore T. Wang, Managing Member</u>	<u>12/03/2018</u>
<u>Puissance Capital Management (GP) LLC, By: Theodore Wang, Managing Member</u>	<u>12/03/2018</u>

** Signature of Reporting Person Date

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.