Edgar Filing: HARVARD BIOSCIENCE INC - Form 4/A

Form 4/A	BIOSCIENCE IN	NC									
October 23, FORM	ЛЛ								OMB AF	PROVAL	
	UNITED	STATES			ND EXC D.C. 205		GE C	OMMISSION	OMB Number:	3235-0287	
Check this box if no longer subject to Section 16. Form 4 or				GES IN SECUR		CIAL	OWN	ERSHIP OF	Expires: Estimated a burden hour response		
Form 5 obligation may con <i>See</i> Insta 1(b).	ons Section 17(a	a) of the 1	Public U	tility Hold		bany A	Act of	e Act of 1934, 1935 or Sectior 0	1		
(Print or Type	Responses)										
	Address of Reporting XI SUSAN M	Person <u>*</u>	Symbol	ARD BIO	I Ticker or T SCIENCE	-		5. Relationship of Issuer (Check	Reporting Pers		
(Last) (First) (Middle) 3. Date				of Earliest Transaction Direct Day/Year)X Office below)					ve title Other (specify below)		
				ndment, Date Original 6. Individual or Joi hth/Day/Year) Applicable Line) 013Form filed by O Form filed by Ma					int/Group Filin	g(Check rson	
(City)		(Zip)	Tabl	le I - Non-D	Derivative So	ecuriti	es Acai	Person iired, Disposed of	or Beneficial	lv Owned	
1.Title of Security (Instr. 3)	2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if any (Month/Day/Year)			3. Transactic Code	4. Securitie	ties Acquired 5. Amount of 6 isposed of (D) Securities 6 4 and 5) Beneficially 1 Owned 6 Following 1 (A) Transaction(s) or (Instr. 3 and 4)			6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect	
Common Stock	10/18/2013			M	47,247	A A	\$ 3.18	492,764 <u>(1)</u>	D		
Common Stock	10/18/2013			F	36,265 (2)	D	\$ 5.5	456,499 <u>(1)</u>	D		
Common Stock	10/18/2013			М	100,000	А	\$ 1.99	556,499 <u>(1)</u>	D		
Common Stock	10/18/2013			F	65,960 (2)	D	\$ 5.5	490,539 <u>(1)</u>	D		
Common Stock	10/18/2013			М	38,025	А	\$ 4.28	528,564 <u>(1)</u>	D		

Edgar Filing: HARVARD BIOSCIENCE INC - Form 4/A

Common Stock	10/18/2013	F	33,377 (2)	D	\$ 5.5 495,187 <u>(1)</u> E)
Common Stock	10/18/2013	М	12,500	А	\$ 507,687 <u>(1)</u> E)
Common Stock	10/18/2013	F	9,343 <u>(2)</u>	D	\$ 5.5 498,344 (<u>1</u>))

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 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. Transactio Code (Instr. 8)	5. Number of ionDerivative 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 Underlying Securities (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount o Number o Shares
Stock option (right to buy)	\$ 3.18	10/18/2013		М		47,247 (<u>3)</u>	01/01/2013	05/21/2019	Common Stock, par value \$0.01 per share	47,247
Stock option (right to buy)	\$ 1.99	10/18/2013		М		100,000 (<u>3</u>)	01/01/2012	12/04/2018	Common Stock, par value \$0.01 per share	100,000
Stock option (right to buy)	\$ 4.28	10/18/2013		М		38,025 (<u>3)</u>	01/01/2010	08/09/2016	Common Stock, par value \$0.01 per share	38,025
Stock option (right to buy)	\$ 2.98	10/18/2013		М		12,500	01/01/2009	05/25/2015	Common Stock, par value \$0.01 per share	12,500

Reporting Owners

Reporting Owner Name / Addro	255	Relationships							
	Director	10% Owner	Officer	Other					
LUSCINSKI SUSAN M 84 OCTOBER HILL ROAD HOLLISTON, MA 01746)		Chief Operating Officer						
Signatures									
Susan Luscinski	10/23/2013								
<u>**Signature of</u> 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).

Includes (a) a deferred stock award of 16,700 restricted stock units which will vest on Jan 1, 2014; (b) a deferred stock award of 9,374 restricted stock units which vest in equal installments on Jan 1, 2014 and Jan 1, 2015; (c) a deferred stock award of 30,954 restricted

(1) stock units which vest in equal installments on Jan 1, 2014, Jan 1, 2015, and Jan 1, 2016; (d) and a deferred stock award of 19,337 restricted stock units which vest in equal installments on Jan 1, 2014, Jan 1, 2015, Jan 1, 2016, and Jan 1, 2017; and (e) 369,152 shares of common stock held by Ms. Luscinski.

Represents the number of shares of common stock that the Reporting Person attested to the ownership thereof in accordance with the Issuer's 2000 Stock Option and Incentive Plan, as amended, in connection with the payment of the option exercise price and related

- (2) withholding taxes. With respect to each option exercise, the Issuer only delivered the net amount of the option shares (after reducing the option shares by the amount of shares subject to such attestation) to the Reporting Person and such attestation shares were not sold by the Reporting Person or delivered to the Issuer. Nevertheless, the SEC deems such exercise and related attestation to be a disposition of shares for purposes of Section 16(a) of the Securities Exchange Act of 1934.
- (3) Represents exercise of stock options granted pursuant to the Issuer's 2000 Stock Option and Incentive Plan, as amended.

Remarks:

This Amendment to Form 4 does not reflect any additional transactions and is merely being filed to correct certain inadvertent

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.