#### HARVARD BIOSCIENCE INC

Form 4

January 05, 2016

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average

**OMB APPROVAL** 

burden hours per

response...

if no longer subject to Section 16. Form 4 or Form 5

obligations

may continue.

See Instruction

Check this box

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

**Duchemin Jeffrey** 

2. Issuer Name and Ticker or Trading

Symbol

HARVARD BIOSCIENCE INC [HBIO]

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

(Last)

(City)

(First)

(State)

(Middle)

(Zip)

3. Date of Earliest Transaction

(Month/Day/Year)

\_X\_\_ Director 10% Owner X\_ Officer (give title Other (specify

below)

Chief Executive Officer

HARVARD BIOSCIENCE, INC., 84 12/31/2015

OCTOBER HILL ROAD

(Street) 4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

HOLLISTON, MA 01746

(enj)	(State)	Table	e I - Non-De	erivative S	Securi	ities Acq	luired, Disposed o	of, or Beneficial	ly Owned
1.Title of	2. Transaction Date		3.	4. Securi		•	5. Amount of		7. Nature of
Security (Instr. 3)	(Month/Day/Year)	Execution Date, if any	Transactio Code	ion(A) or Disposed of (D)			Securities Beneficially	Form: Direct (D) or	Indirect Beneficial
(IIIstr. 3)		(Month/Day/Year)	(Instr. 8)	(Instr. 3,	4 and	5)	Owned Following	Indirect (I) (Instr. 4)	Ownership (Instr. 4)
					(A)		Reported		
					or		Transaction(s) (Instr. 3 and 4)		
			Code V	Amount	(D)	Price	,		
Common Stock	12/31/2015		<u>J(1)</u>	2,220	A	\$ 2.95 (2)	162,430 (3)	D	
Common Stock	01/01/2016		F	6,474 (4)	D	\$ 3.47	155,956 <u>(5)</u>	D	

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

Persons who respond to the collection of **SEC 1474** information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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#### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title o	of 2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Titl	le and	8. Price of	9. Nu
Derivativ	ve Conversion	(Month/Day/Year)	Execution Date, if	Transaction	orNumber	Expiration D	ate	Amou	ınt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	rlying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Secur	rities	(Instr. 5)	Bene
	Derivative				Securities			(Instr.	. 3 and 4)		Own
	Security				Acquired						Follo
	•				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									A		
									Amount		
						Date	Expiration	T:41-	or Namel		
						Exercisable	Date	Title	Number		
				C-1- V	(A) (D)				of Shares		
				Code V	(A) (I))				Snares		

# **Reporting Owners**

Reporting Owner Name / Address				
	Director	10% Owner	Officer	Other

**Duchemin Jeffrey** HARVARD BIOSCIENCE, INC. 84 OCTOBER HILL ROAD HOLLISTON, MA 01746

X Chief Executive Officer

Relationships

## **Signatures**

/s/ Chad Porter, by power of 01/05/2016 attorney

\*\*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) Represents shares acquired under the Issuer's Employee Stock Purchase Plan.
- Represents the purchase price for each share purchased under the Employee Stock Purchase Plan and equals 85% of the fair market value **(2)** of the common stock on December 31, 2015, being the purchase date under the plan.
- Includes (a) a deferred stock award of 68,900 restricted stock units which shall vest in three equal installments on January 1, 2016, 2017, 2018 and 2019; (b) a deferred stock award of 71,748 restricted stock units with performance based vesting conditions, which shall vest on (3) August 3, 2018 contingent upon achievement of a performance condition tied to relative total shareholder return; and (c) 21,782 shares of common stock held by the Reporting Person.
- The shares were disposed to satisfy the Reporting Person's tax withholding obligation in connection with deferred stock awards previously granted to the Reporting Person which vested in part on January 1, 2016.
- Includes (a) a deferred stock award of 51,675 restricted stock units which shall vest in three equal installments on January 1, 2017, 2018 and 2019; (b) a deferred stock award of 71,748 restricted stock units with performance based vesting conditions, which shall vest on August 3, 2018 contingent upon achievement of a performance condition tied to relative total shareholder return; and (c) 32,533 shares of common stock held by the Reporting Person.

Reporting Owners 2

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#### **Remarks:**

This form is signed under power of attorney.

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.