

LAM RESEARCH CORP
Form 4
March 20, 2017

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 OF SECURITIES

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Gottscho Richard A

(Last) (First) (Middle)
4650 CUSHING PARKWAY
(Street)

FREMONT, CA 94538

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
LAM RESEARCH CORP [LRCX]

3. Date of Earliest Transaction
(Month/Day/Year)
03/16/2017

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
Executive Vice President

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

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 or Price (A) or (D)		
Common Stock	03/16/2017		S		20,000 (1)	D	\$ 124.5 72,641 (2) D
Common Stock	03/16/2017		S		26,262 (1)	D	\$ 124.5 46,379 (2) D
Common Stock	03/16/2017		M		7,242 (3)	A	\$ 51.76 53,621 (2) D
Common Stock	03/16/2017		S		7,242 (1)	D	\$ 124.5 46,379 (2) D
Common Stock	03/16/2017		M		4,829 (3)	A	\$ 51.76 51,208 (2) D

Edgar Filing: LAM RESEARCH CORP - Form 4

Common Stock	03/16/2017	S	4,829 (1)	D	\$ 124.5	46,379 (2)	D
Common Stock	03/16/2017	M	4,829 (3)	A	\$ 51.76	51,208 (2)	D
Common Stock	03/16/2017	S	4,829 (1)	D	\$ 124.5	46,379 (2)	D
Common Stock	03/16/2017	M	3,722 (3)	A	\$ 80.6	50,101 (2)	D
Common Stock	03/16/2017	S	3,722 (1)	D	\$ 124.5	46,379 (2)	D
Common Stock	03/16/2017	M	3,722 (3)	A	\$ 80.6	50,101 (2)	D
Common Stock	03/16/2017	S	3,722 (1)	D	\$ 124.5	46,379 (2)	D
Common Stock	03/16/2017	M	9,403 (3)	A	\$ 75.57	55,782 (2)	D
Common Stock	03/16/2017	S	9,403 (1)	D	\$ 124.5	46,379 (2)	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.

SEC 1474
(9-02)

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 Underlying Securities (Instr. 3 and 4)	8. Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (Right to Buy)	\$ 51.76	03/16/2017		M	7,242 (3)	(4)	02/18/2021	Common Stock	7,242

Employee Stock Option (Right to Buy)	\$ 51.76	03/16/2017	M	4,829 <u>(3)</u>	<u>(5)</u>	02/18/2021	Common Stock	4,829
Employee Stock Option (Right to Buy)	\$ 51.76	03/16/2017	M	4,829 <u>(3)</u>	<u>(5)</u>	02/18/2021	Common Stock	4,829
Employee Stock Option (Right to Buy)	\$ 80.6	03/16/2017	M	3,722 <u>(3)</u>	<u>(6)</u>	02/11/2022	Common Stock	3,722
Employee Stock Option (Right to Buy)	\$ 80.6	03/16/2017	M	3,722 <u>(3)</u>	<u>(6)</u>	02/11/2022	Common Stock	3,722
Employee Stock Option (Right to Buy)	\$ 75.57	03/16/2017	M	9,403 <u>(3)</u>	<u>(7)</u>	03/01/2023	Common Stock	9,403

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Gottscho Richard A 4650 CUSHING PARKWAY FREMONT, CA 94538			Executive Vice President	

Signatures

Leign Cramer by Power of
Attorney

03/20/2017

**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) Shares sold pursuant to 10b5-1 Trading Plan.
- (2) Amount reported includes shares subject to unvested Restricted Stock Units.
- (3) Shares exercised pursuant to 10b5-1 Trading Plan

Edgar Filing: LAM RESEARCH CORP - Form 4

- (4) 100% of the stock options will vest on 2/18/16.
- (5) 33.3% of the stock options will vest on 2/18/15, 2/18/16 and 2/18/17.
- (6) 33.3% of the stock options will vest on 2/11/16, 2/11/17, and 2/11/18.
- (7) 33.3% of the stock options will vest on 3/1/17, 3/1/18, and 3/1/19.

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.