

VON STAATS AARON C

Form 4

November 16, 2018

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

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

## OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
VON STAATS AARON C

(Last) (First) (Middle)

140 KENDRICK STREET

(Street)

NEEDHAM, MA 02494

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
PTC INC. [PTC]

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/14/2018

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)

EVP, GC and Secretary

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_X\_ 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 Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	11/15/2018		M		44,058	A	\$ 0 52,599
Common Stock	11/15/2018		F		17,911 (1)	D	\$ 89.4 34,688

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

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SEC 1474  
(9-02)

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**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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Share
Restricted Stock Units	(2)	11/15/2018		M			2,117	(3)	(3)	Common Stock	2,117
Restricted Stock Units	(2)	11/15/2018		M			5,646	(8)	(8)	Common Stock	5,646
Restricted Stock Units	(2)	11/15/2018		M			4,304	(4)	(4)	Common Stock	4,304
Restricted Stock Units	(2)	11/15/2018		M			3,585	(9)	(9)	Common Stock	3,585
Restricted Stock Units	(2)	11/14/2018		A		16,452		(5)	(5)	Common Stock	16,452
Restricted Stock Units	(2)	11/15/2018		M			16,452	(5)	(5)	Common Stock	16,452
Restricted Stock Units	(2)	11/14/2018		A		8,608		(6)	(6)	Common Stock	8,608
Restricted Stock Units	(2)	11/15/2018		M			8,608	(6)	(6)	Common Stock	8,608
Restricted Stock Units	(2)	11/14/2018		A		3,346		(7)	(7)	Common Stock	3,346
Restricted Stock Units	(2)	11/15/2018		M			3,346	(7)	(7)	Common Stock	3,346
Restricted Stock Units	(2)	11/14/2018		A		10,420		(11)	(11)	Common Stock	10,420

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
VON STAATS AARON C 140 KENDRICK STREET NEEDHAM, MA 02494			EVP, GC and Secretary	

## Signatures

/s/Catherine Gorecki by power of attorney filed  
11/2/2007

11/16/2018

\_\_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) Tendered to Issuer to satisfy tax withholding obligations of the Reporting Person incurred in connection with the vesting of the Reporting Person's restricted stock unit awards on November 15, 2018.
- (2) Each restricted stock unit represents a contingent right to receive one share of PTC Inc. common stock.
- (3) Aspirational performance-based RSUs granted on October 31, 2016 that could be earned only to the extent the established performance measure was met for the period ended September 30, 2017. The performance measure was met at 49.2% and 6351 RSUs were earned. The RSUs earned vest in three substantially equal installments on November 15, 2017, 2018 and 2019.
- (4) RSUs granted on October 31, 2016 that vest in three substantially equal installments on November 15, 2017, 2018 and 2019.
- (5) Performance-based RSUs granted on November 2, 2015 that could be earned only to the extent the established performance measure was met for the performance period ended September 30, 2018. The performance measure was met at 200% and 16452 RSUs were earned and vested.
- (6) Performance-based RSUs granted on October 31, 2016 that could be earned only to the extent the established performance measure was met for the performance period ended September 30, 2018. The performance measure was met at 200% and 8608 RSUs were earned and vested.
- (7) Performance-based RSUs granted on November 15, 2017 that could be earned only to the extent the established performance measure was met for the performance period ended September 30, 2018. The performance measure was met at 93.34% and 3346 RSUs were earned and vested.
- (8) RSUs granted on November 2, 2015 that vested in three substantially equal installments on November 15, 2016, 2017 and 2018.
- (9) RSUs granted on November 15, 2017 that vest in three substantially equal installments on November 15, 2018, 2019 and 2020.
- (10) This amount represents the total number of derivative securities beneficially owned of the class shown.
- (11) RSUs granted on November 14, 2018 that vest in three substantially equal installments on November 15, 2019, 2020 and 2021.

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.