

ABIOMED INC
Form 4
May 17, 2017

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 *
MINOGUE MICHAEL R

(Last) (First) (Middle)

**C/O ABIOMED, INC., 22
CHERRY HILL DRIVE**

(Street)

DANVERS, MA 01923

(City) (State) (Zip)

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

3. Date of Earliest Transaction
(Month/Day/Year)
05/15/2017

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)

President, CEO, Chairman

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)
Common Stock \$.01 par value	05/15/2017		F ⁽⁵⁾	25,396 ⁽⁵⁾	D \$ 131.42	188,693	D
Common Stock \$.01 par value	05/15/2017		A ⁽¹⁰⁾	37,483 ⁽¹⁰⁾	A \$ 0	226,176	D
Common Stock \$.01 par value	05/15/2017		A ⁽¹¹⁾	13,900 ⁽¹¹⁾	A \$ 0	240,076	D

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Common Stock \$.01 par value	11/10/2016	G ⁽⁶⁾⁽⁹⁾	V	26,523 (6) (9)	D	\$ 0	213,553	D	
Common Stock \$.01 par value	11/10/2016	G ⁽⁶⁾⁽⁹⁾	V	26,523 (6) (9)	A	\$ 0	119,311	I	By Trust - A
Common Stock \$.01 par value	11/10/2016	G ⁽⁷⁾⁽⁹⁾	V	23,000 (7) (9)	D	\$ 0	96,311	I	By Trust - A
Common Stock \$.01 par value	11/10/2016	G ⁽⁷⁾⁽⁹⁾	V	23,000 (7) (9)	A	\$ 0	23,000	I	By Trust - B
Common Stock \$.01 par value	11/21/2016	G ⁽⁸⁾⁽⁹⁾	V	9,000 (8) (9)	D	\$ 0	87,311	I	By Trust - A
Common Stock \$.01 par value	11/21/2016	G ⁽⁸⁾⁽⁹⁾	V	9,000 (8) (9)	A	\$ 0	9,000	I	By Trust - C
Common Stock \$.01 par value							655	I	By Trust - D

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

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(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)
				Code V	(A) (D)	Date Exercisable Expiration Date	Title Amount or Number

Stock Option (right to buy) ⁽²⁾	\$ 10.03				06/03/2011 ⁽¹⁾	06/03/2020	Common Stock	0
Stock Option (Right to Buy) ⁽²⁾	\$ 22.44				05/22/2013 ⁽¹⁾	05/22/2022	Common Stock	0
Stock Option (Right to Buy) ⁽²⁾	\$ 23.15				05/14/2014 ⁽¹⁾	05/14/2024	Common stock	0
Stock Option (right to buy) ⁽²⁾	\$ 21.55				05/14/2015 ⁽³⁾	05/14/2024	Common Stock	0
Stock Option (right to buy) ⁽²⁾	\$ 66.25				05/13/2016 ⁽³⁾	05/13/2025	Common Stock	0
Stock Option (right to buy) ⁽⁴⁾	\$ 99.62				05/24/2017 ⁽³⁾	05/24/2026	Common Stock	0
Stock Option (right to buy) ⁽⁴⁾	\$ 134.51	05/15/2017	A	33,000	05/15/2018 ⁽³⁾	05/15/2027	Common Stock	33,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
MINOGUE MICHAEL R C/O ABIOMED, INC., 22 CHERRY HILL DRIVE DANVERS, MA 01923	X		President, CEO, Chairman	

Signatures

/s/ Stephen C. McEvoy (by power of attorney) 05/17/2017

 **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) These options become exercisable in annual 25% increments, commencing on the date shown in Table II, Column 6.
- (2) Grant to reporting person of option to buy the number of shares of Common Stock set forth in Table II, Column 7, under the ABIOMED, Inc. 2008 Stock Incentive Plan.
- (3) These options become exercisable in annual 33-1/3% increments, commencing on the date shown in Table II, Column 6.
- (4) Grant to reporting person of option to buy the number of shares of Common Stock set forth in Table II, Column 7, under the ABIOMED, Inc. 2015 Omnibus Incentive Plan.
- (5) Transaction represents shares of common stock withheld solely for the payment of withholding tax liability associated with vesting of awards of restricted stock units.
- (6) This transaction represents the transfer of common stock by bona fide gift from the reporting person to a trust held for the benefit of the reporting person's spouse. The reporting person's spouse is a trustee of the trust.
- (7) This transaction represents the transfer of common stock by bona fide gift from a trust held for the benefit of reporting person's spouse to a trust held for the benefit of reporting person's children.
- (8) This transaction represents the transfer of common stock by bona fide gift from a trust held for the benefit of reporting person's spouse to a charitable foundation.
- (9) The reporting person disclaims beneficial ownership of these securities, and the filing of this report is not an admission that the reporting person is the beneficial owner of these securities for purposes of Section 16 or for any other purpose.
- Represents shares of common stock underlying performance-based awards of restricted stock units granted to this reporting person on May 24, 2016. One third of these restricted stock units will vest on May 24, 2017 (into an equal number of shares of common stock)
- (10) based on the issuer's achievement of a certain performance milestone and upon the first anniversary of the date of the grant with the remaining vesting on the second and third anniversaries of the date of grant as long as the reporting person continues to be employed by the issuer on the vesting dates.
- Consists of restricted stock units granted to the reporting person. One third of the restricted stock units will vest and the underlying
- (11) shares will be issued to the reporting person on each of May 15, 2018, May 15, 2019 and May 15, 2020, so long as the reporting person continues to be employed by the issuer on the vesting dates.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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