

ABIOMED INC
Form 4
May 16, 2014

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)
05/14/2014

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	05/14/2014		A	24,500 (7) (8) (9)	A \$ 0 265,345	D	
Common Stock \$.01 par value	05/15/2014		S	4,433 (6)	D \$ 20.944 260,912 (5)	D	

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 Underlying Securities (Instr. 3 and 4)				
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount Number Shares
Stock Option (right to buy) ⁽¹⁾	\$ 13.57							06/01/2007	06/01/2016	Common Stock	246,3
Stock Option (right to buy) ⁽¹⁾	\$ 11.27							05/30/2008	05/30/2017	Common Stock	85,0
Stock Option (right to buy) ⁽¹⁾	\$ 13.8							05/23/2009 ⁽²⁾	05/23/2018	Common Stock	43,3
Stock Option (right to buy) ⁽³⁾	\$ 18.63							06/15/2009 ⁽⁴⁾	08/13/2018	Common Stock	93,7
Stock Option (right to buy) ⁽³⁾	\$ 5.86							05/28/2010 ⁽²⁾	05/28/2019	Common Stock	109,5
Stock Option (right to buy) ⁽³⁾	\$ 5.86							05/28/2010 ⁽²⁾	05/28/2019	Common Stock	108,8
Stock Option (right to buy) ⁽³⁾	\$ 5.86							03/31/2010 ⁽²⁾	05/28/2019	Common Stock	130,5
Stock Option (right to buy) ⁽³⁾	\$ 10.03							06/03/2011 ⁽²⁾	06/03/2020	Common Stock	105,0
Stock Option	\$ 22.44							05/22/2013 ⁽²⁾	05/22/2022	Common Stock	100,0

(Right to
Buy) ⁽³⁾

Stock

Option
(Right to
Buy) ⁽³⁾

\$ 23.15

05/14/2014⁽²⁾

05/14/2024

Common
stock

85,0

Stock

Option
(right to
buy) ⁽³⁾

\$ 21.55

05/14/2014

A

85,000

05/14/2015⁽¹⁰⁾

05/14/2024

Common
Stock

85,0

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)

05/16/2014

^{__}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) Grant to reporting person of option to buy shares of Common Stock under the ABIOMED, Inc. 2000 Stock Incentive Plan.
- (2) These options become exercisable in annual 25% increments, commencing on the date shown in Table II, Column 6.
- (3) 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.
- (4) These options become exercisable based on the achievement of certain performance milestones.
- (5) This price represents the weighted average sale price of multiple transactions on the reported date at prices that ranged between \$20.6200 and \$21.4000. Detailed information regarding the number of shares sold at each separate price will be provided upon request by the Commission staff, the Issuer, or a security holder of the Issuer.
- (6) Sale of common stock pursuant to reporting owner's 10b5-1 plan sold to pay tax obligations upon vesting.
- (7) Consists of restricted stock units granted to the reporting person. One third of the restricted stock units will vest and the underlying shares will be issued to the reporting person on each of May 14, 2015, May 14, 2016 and May 14, 2017, so long as the reporting person continues to be employed by the issuer on the vesting dates.
- (8) In addition, performance share awards of up to 61,500 restricted units were granted to this reporting person on May 14, 2014. The number of restricted stock units that will become eligible for vesting pursuant to this award will be determined based on the issuer's fiscal 2015 financial performance. One third of the restricted stock units that become eligible for vesting will vest on the date the issuer first publicly announces its financial results for fiscal 2015. The remaining restricted stock units that become eligible for vesting will vest and the underlying shares will be delivered to the reporting person in equal tranches on each of May 14, 2016 and May 14, 2017, in all cases, so long as the reporting person continues to be employed by the issuer on the vesting dates.

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(9) In addition, performance share awards of up to 80,000 restricted units were granted to this reporting person on May 14, 2014. One half of these restricted stock units will vest immediately upon the issuer's achievement of certain regulatory milestones within three years of the date of grant, with the remaining vesting on the first anniversary of such achievement.

(10) These options become exercisable in annual 33-1/3% increments, commencing on the date shown in Table II, Column 6.

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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