

BECTON DICKINSON &amp; CO

Form 4

September 07, 2016

**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

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Tharby Linda M

(Last) (First) (Middle)

C/O BECTON, DICKINSON AND  
COMPANY, 1 BECTON DRIVE

(Street)

FRANKLIN LAKES, NJ 07417

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
BECTON DICKINSON & CO  
[BDX]

3. Date of Earliest Transaction  
(Month/Day/Year)  
09/06/2016

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

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

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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-------------------------------------------------------------------|--------|------------|-----------------------------------------------------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------|
|                                 |                                      |                                                    | Code                           | V                                                                 | Amount | (A) or (D) | Price                                                                                         |                                                          |                                                       |
| Common Stock                    | 09/06/2016                           |                                                    | M                              |                                                                   | 12,958 | A          | \$ 76.64                                                                                      | 22,146                                                   | D                                                     |
| Common Stock                    | 09/06/2016                           |                                                    | D                              |                                                                   | 5,608  | D          | \$ 177.1 <sup>(1)</sup>                                                                       | 16,538                                                   | D                                                     |
| Common Stock                    | 09/06/2016                           |                                                    | S                              |                                                                   | 7,350  | D          | \$ 177.1 <sup>(1)</sup>                                                                       | 9,188                                                    | D                                                     |
| Common Stock                    | 09/06/2016                           |                                                    | M                              |                                                                   | 7,333  | A          | \$ 72.12                                                                                      | 16,521                                                   | D                                                     |
| Common Stock                    | 09/06/2016                           |                                                    | D                              |                                                                   | 2,979  | D          | \$ 177.57                                                                                     | 13,542                                                   | D                                                     |

Edgar Filing: BECTON DICKINSON & CO - Form 4

|              |            |   |       |   |                                |                      |   |            |
|--------------|------------|---|-------|---|--------------------------------|----------------------|---|------------|
| Common Stock | 09/06/2016 | S | 4,354 | D | <sup>(2)</sup><br>\$<br>177.57 | 9,188                | D |            |
| Common Stock |            |   |       |   | <sup>(2)</sup>                 |                      |   |            |
| Common Stock |            |   |       |   |                                | 1,515 <sup>(3)</sup> | I | GSIP Trust |
| Common Stock |            |   |       |   |                                | 93 <sup>(4)</sup>    | I | SIP Trust  |

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 Security (Instr. 3 and 4) |                 |              |                            |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|-----|-------------------------------------------------------------|-----------------|--------------|----------------------------|
|                                            |                                                        |                                      |                                                    | Code                           | V                                                                                       | (A)                                                      | (D) | Date Exercisable                                            | Expiration Date | Title        | Amount or Number of Shares |
| Stock Appreciation Rights                  | \$ 76.64                                               | 09/06/2016                           |                                                    | M                              |                                                                                         | 12,958                                                   |     | 11/23/2011 <sup>(5)</sup>                                   | 11/23/2020      | Common Stock | 12,958                     |
| Stock Appreciation Rights                  | \$ 72.12                                               | 09/06/2016                           |                                                    | M                              |                                                                                         | 7,333                                                    |     | 11/22/2012 <sup>(6)</sup>                                   | 11/22/2021      | Common Stock | 7,333                      |

## Reporting Owners

| Reporting Owner Name / Address                                                                    | Relationships                    |
|---------------------------------------------------------------------------------------------------|----------------------------------|
|                                                                                                   | Director 10% Owner Officer Other |
| Tharby Linda M<br>C/O BECTON, DICKINSON AND COMPANY<br>1 BECTON DRIVE<br>FRANKLIN LAKES, NJ 07417 | Executive Vice President         |

## Signatures

Richard Stout, by power of attorney for Linda M.  
Tharby

09/06/2016

\_\_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).
- The reported sale price reflects the weighted average sale price for multiple transactions. The actual sales prices for the transactions
- (1) ranged from \$176.79 through \$177.52. Full information regarding the number of shares purchased at each separate price will be provided to the Securities and Exchange Commission, the issuer or a security holder of the issuer upon request.
- The reported sale price reflects the weighted average sale price for multiple transactions. The actual sales prices for the transactions
- (2) ranged from \$177.45 through \$177.68. Full information regarding the number of shares purchased at each separate price will be provided to the Securities and Exchange Commission, the issuer or a security holder of the issuer upon request.
- (3) Represents shares of common stock held under the Becton, Dickinson and Company Global Share Investment Program (the "GSIP"). The information presented for the GSIP is as of September 30, 2015.
  - (4) Represents shares of common stock held under the Becton, Dickinson and Company Savings Incentive Plan (the "SIP"). The information presented for the SIP is as of July 31, 2016.
  - (5) The stock appreciation rights vest in four annual installments beginning November 23, 2011.
  - (6) The stock appreciation rights vest in four annual installments beginning November 22, 2012.

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.