

LAM RESEARCH CORP

Form 4

February 02, 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 \*  
ARCHER TIMOTHY

(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)

01/31/2017

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 below) \_\_\_\_ Other (specify below)

Chief Operating Officer

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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|-------------------------------------------------------------------|
| Common<br>Stock                       | 01/31/2017                              |                                                             | S                                    | Amount<br>(1)<br>5,777                                                  | (A)<br>or<br>(D)<br>D<br>\$<br>115.96                                                                              | 76,284 (2)                                                              | D                                                                 |
| Common<br>Stock                       | 01/31/2017                              |                                                             | M                                    | 22,803<br>(3)                                                           | A<br>\$ 42.61                                                                                                      | 99,087 (2)                                                              | D                                                                 |
| Common<br>Stock                       | 01/31/2017                              |                                                             | S                                    | 21,860<br>(1)                                                           | \$ 115<br>(4)                                                                                                      | 77,227 (2)                                                              | D                                                                 |
| Common<br>Stock                       | 01/31/2017                              |                                                             | S                                    | 943 (1)                                                                 | \$<br>115.89<br>(5)                                                                                                | 76,284 (2)                                                              | D                                                                 |
| Common<br>Stock                       |                                         |                                                             |                                      |                                                                         |                                                                                                                    | 4,385                                                                   | I By 401(k)                                                       |

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Common Stock 518 I By Spouse 401(k)

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) |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------------|
| Employee Stock Option (Right to Buy)       | \$ 42.61                                               | 01/31/2017                           |                                                    | M                              | 22,803 (3)                                                                              | 02/08/2015(6) 02/08/2020                                 | Common Stock 22,8                                           |

## Reporting Owners

| Reporting Owner Name / Address                              | Relationships                                               |
|-------------------------------------------------------------|-------------------------------------------------------------|
| ARCHER TIMOTHY<br>4650 CUSHING PARKWAY<br>FREMONT, CA 94538 | Director 10% Owner Officer Other<br>Chief Operating Officer |

## Signatures

Leign Cramer by Power of Attorney 02/02/2017

\*\*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.

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- (2) Amount reported includes shares subject to unvested Restricted Stock Units.
- (3) Shares exercised pursuant to 10b5-1 Trading Plan
- (4) The price reported in Column 4 is a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$114.52 to \$115.51, inclusive.
- (5) The price reported in Column 4 is a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$115.53 to \$116.04, inclusive.
- (6) 100% of the stock options vested on 02/08/2015.

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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