

HOLOGIC INC

Form 4

April 05, 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

OMB  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
ULLIAN ELAINE

(Last) (First) (Middle)

250 CAMPUS DRIVE

(Street)

MARLBOROUGH, MA 01752

(City) (State) (Zip)

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

3. Date of Earliest Transaction  
(Month/Day/Year)  
04/03/2017

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)

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<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.<br>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>Ownership<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|---|---|---|---|--|---|--|
| Common<br>Stock                       | 03/17/2017                              |   | G <sup>(1)</sup>                        | V 11,668 D \$ 0   | 23,810   | D   |  |
| Common<br>Stock                       | 04/03/2017                              |   | M <sup>(2)</sup>                        | 9,104 A \$ 32.815   | 32,914   | D   |  |
| Common<br>Stock                       | 04/04/2017                              |   | M <sup>(2)</sup>                        | 1,196 A \$ 32.815   | 34,110   | D   |  |
| Common<br>Stock                       | 04/03/2017                              |   | S <sup>(2)</sup>                        | 9,104 D \$ 42.4   | 23,810 <sup>(3)</sup>  | D   |  |

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**

SEC 1474  
(9-02)

required to respond unless the form  
displays a currently valid OMB control  
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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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount<br>Underlying Securities<br>(Instr. 3 and 4) | Amount<br>or<br>Number<br>of<br>Shares |
|---|---|---|---|---|---|--|--|--|
| Non-qualified<br>Stock Option<br>(Right to Buy)     | \$ 32.815   | 04/03/2017                              |   | M <sup>(2)</sup>                        | 9,104   | <sup>(4)</sup> 10/22/2017                                      | Common<br>Stock  | 9,104                                  |
| Non-qualified<br>Stock Option<br>(Right to Buy)     | \$ 32.815   | 04/04/2017                              |   | M <sup>(2)</sup>                        | 1,196   | <sup>(4)</sup> 10/22/2017                                      | Common<br>Stock  | 1,196                                  |

## Reporting Owners

| Reporting Owner Name / Address                             | Relationships |           |         |       |
|--|---------------|-----------|---------|-------|
|  | Director      | 10% Owner | Officer | Other |
| ULLIAN ELAINE<br>250 CAMPUS DRIVE<br>MARLBOROUGH, MA 01752 |               | X         |         |       |

## Signatures

/s/ Patricia K. Dolan, attorney-in-fact for Ms.  
Ullian 04/05/2017

\_\_\_\_\_\*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) The Reporting Person voluntarily transferred 5,834 shares of common stock to the irrevocable Ullian Family 2014 GST Trust and 5,834 shares of common stock to the irrevocable Ullian Family Health and Education Trust.
- (2) Transaction pursuant to an existing rule 10b5-1 trading plan.
- (3) Includes 3,260 shares subject to deferral pursuant to Issuer's Deferred Equity Plan.
- (4) This option became fully vested on 10/22/2007.

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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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