SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject
Section 16. Form 4 or Form 5
obligations may continue. See
Instruction 1(b).

to

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

OMB APPROVAL OMB Number: 3235-0287

Estimated average burden hours per response: 0.5

1. Name and Addres	s of Reporting Person		2. Issuer Name and Ticker or Trading Symbol <u>SURMODICS INC</u> [SRDX]		ionship of Reporting Persor all applicable) Director	on(s) to Issuer 10% Owner
(Last) 9924 WEST 74T	Last) (First) (Mid 9924 WEST 74TH STREET		3. Date of Earliest Transaction (Month/Day/Year) 11/27/2018		Officer (give title below) Senior VP and C	Other (specify below) MO
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	Line)	idual or Joint/Group Filing (C	
EDEN PRAIRIE (City)	MN (State)	55344 (Zip)		Х	Form filed by One Reporti Form filed by More than C Person	0
	Тэ	hle I - Non-Deriva	tive Securities Acquired Disposed of or Benefi	nially (Jwned	

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)	cution Date, Transaction by Code (Instr		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	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	Transaction(s) (Instr. 3 and 4)		(
Common Stock	11/27/2018		Α		9,711	Α	\$0.00	9,711	D	

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. Transa Code (8)		5. Numb of Derivati Securiti Acquire (A) or Dispose of (D) (II 3, 4 and	ve es d ed nstr.	6. Date Exerc Expiration Da (Month/Day/N	ate	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Employee Stock Option (right to buy)	\$56.63	11/27/2018		A		5,463		(1)	11/27/2025	Common Stock	5,463	\$0.00	5,463	D	
Employee Stock Option (right to buy)	\$56.63	11/27/2018		A		12,292		(2)	11/27/2025	Common Stock	12,292	\$0.00	12,292	D	

Explanation of Responses:

1. One third of the award vests on November 27, 2019 and the remainder of the award will vest on November 27, 2020.

2. The award vests in four equal installments on each of the first four anniversaries of the November 27, 2018 grant date.

Remarks:

/s/ Bryan K. Phillips, on behalf of Teri Woodwick Sides

11/29/2018

** Signature of Reporting Person Date

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

* 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).

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

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 Number.