# SEC Form 4

# FORM 4

Check this box if no longer subject

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL 3235-0287 OMB Number: Estimated average burden hours per response: 0.5

| to Section 16. Form 4 or Form 5 |                   |
|---------------------------------|-------------------|
| obligations may continue. See   |                   |
| Instruction 1(b).               | Filed pursuant to |
|                                 | . or Conting      |

# STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

| 1. Name and Address of Reporting Person <sup>*</sup><br><u>KALICH RONALD B SR</u> |                                      |       | 2. Issuer Name <b>and</b> Ticker or Trading Symbol SURMODICS INC [SRDX] |                       | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable) |                       |  |  |  |
|-----------------------------------------------------------------------------------|--------------------------------------|-------|-------------------------------------------------------------------------|-----------------------|----------------------------------------------------------------------------|-----------------------|--|--|--|
|                                                                                   |                                      |       |                                                                         | X                     | Director                                                                   | 10% Owner             |  |  |  |
| (Last)<br>9924 WEST                                                               | (First) (Middle)<br>VEST 74TH STREET |       | 3. Date of Earliest Transaction (Month/Day/Year)<br>06/30/2020          |                       | Officer (give title below)                                                 | Other (specify below) |  |  |  |
| (Street)<br>EDEN<br>PRAIRIE                                                       | EDEN MN 55344                        |       | 4. If Amendment, Date of Original Filed (Month/Day/Year)                | 6. Indi<br>Line)<br>X | , ,                                                                        |                       |  |  |  |
| (City)                                                                            | (State)                              | (Zip) |                                                                         |                       |                                                                            |                       |  |  |  |

### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 3.<br>Transa<br>Code (<br>8) | ction | 4. Securities<br>Disposed Of<br>5) |               |         | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------|--------------------------------------------|-------------------------------------------------------------|------------------------------|-------|------------------------------------|---------------|---------|---------------------------------------------------------------------------|-------------------------------------------------------------------|-------------------------------------------------------------------|
|                                 |                                            |                                                             | Code                         | v     | Amount                             | (A) or<br>(D) | Price   | Transaction(s)<br>(Instr. 3 and 4)                                        |                                                                   | (1130. 4)                                                         |
| Common Stock                    | 06/30/2020                                 |                                                             | A                            |       | 413(1)                             | Α             | \$43.24 | 17,470 <sup>(2)</sup>                                                     | D                                                                 |                                                                   |

| 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<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) |      | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3, 4<br>and 5) |     | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                     | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative<br>Security (Instr.<br>3 and 4) |       | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
|                                                                                                                                                      |                                                                       |                                            |                                                             | Code | v                                                                                                                 | (A) | (D)                                                            | Date<br>Exercisable | Expiration<br>Date                                                                                  | Title | Amount<br>or<br>Number<br>of<br>Shares              |                                                                                                                            |                                                                          |                                                                    |  |

### Explanation of Responses:

1. The reporting person elected to receive vested deferred stock units (DSUs) in lieu of quarterly cash retainer payments. The DSUs are settled in shares of the issuer's common stock as described below. 2. The amount beneficially owned includes 9,123 restricted stock units (RSUs) that vest on service-based vesting dates and 8,347 DSUs that are vested upon issuance, each of which will be settled in shares of the issuer's common stock on a 1 for 1 basis when the reporting person's service as a director ends.

#### Remarks:

/s/ John Manders, on behalf of 07/02/2020

Ronald B. Kalich

\*\* 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.

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