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 to
Section 16. Form 4 or Form 5
obligations may continue. See
Instruction 1(b).

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

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1. Name and Address of Reporting Person [*] LaFrence Andrew D. C. (Last) (First) (Middle) 9924 WEST 74TH STREET			2. Issuer Name and Ticker or Trading Symbol <u>SURMODICS INC</u> [SRDX] 3. Date of Earliest Transaction (Month/Day/Year) 12/17/2015	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner X Officer (give title Other (specify below) VP of Finance & CFO				
(Street) EDEN PRAIRIE 	MN (State)	55344 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi Line) X	dual or Joint/Group Filing (Form filed by One Report Form filed by More than C Person	ing Person		
	Ta	able I - Non-Deriva	tive Securities Acquired, Disposed of, or Benefic	cially C	Owned			

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)					5. Amount of Securities Beneficially Owned Following Reported		7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1130. 4)
Common Stock	12/17/2015		A		4,679(1)	Α	\$0.00	8,556	D	
Common Stock	12/17/2015		F		1,573 ⁽²⁾	D	\$20.25	7 , 260 ⁽³⁾	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)		of		6. Date Exercisable and Expiration Date (Month/Day/Year)		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				
Common Stock	\$20.25	12/17/2015		Α		19,927		(4)	12/17/2022	Common Stock	19,927	\$0.00	19,927	D	

Explanation of Responses:

1. Performance shares awarded under long-term incentive plan based on performance during three-year period ended November 30, 2014.

2. Shares withheld to satisfy taxes incident to vesting of performance share award.

3. Includes 277 shares acquired through the Employee Stock Purchase Plan for the phase ending 8/31/15.

4. The award vests in four equal installments on each of the first four anniversaries of the December 17, 2015 grant date.

Remarks:

/s/ Bryan K. Phillips, on behalf 12/21/2015 of Andrew D.C. LaFrence

** Signature of Reporting Person

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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