

WATERS CORP /DE/

Form 3

February 11, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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

(Print or Type Responses)

1. Name and Address of Reporting Person *

King Ian

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

02/10/2016

3. Issuer Name and Ticker or Trading Symbol

WATERS CORP /DE/ [WAT]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

34 MAPLE STREET

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Sr VP, Instrument Technology

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person☐ Form filed by More than One Reporting Person

MILFORD, MA 01757

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership Form:

Direct (D) or Indirect (I) (Instr. 5)

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Common Stock

4,559

D (1)

A

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and Expiration Date (Month/Day/Year)

Date Exercisable Expiration Date

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

Title Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security: Direct (D) or Indirect

6. Nature of Indirect Beneficial Ownership (Instr. 5)

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				Shares		(I) (Instr. 5)	
Stock Option (Right to Buy)	12/09/2011 ⁽²⁾	12/09/2020	Common Stock	23,000	\$ 79.05	D	Â
Stock Option (Right to Buy)	12/07/2012 ⁽³⁾	12/07/2021	Common Stock	23,000	\$ 79.15	D	Â
Stock Option (Right to Buy)	12/11/2013 ⁽⁴⁾	12/11/2022	Common Stock	23,000	\$ 87.06	D	Â
Stock Option (Right to Buy)	12/06/2014 ⁽⁵⁾	12/06/2023	Common Stock	12,000	\$ 98.21	D	Â
Stock Option (Right to Buy)	12/11/2015 ⁽⁶⁾	12/11/2024	Common Stock	19,000	\$ 113.36	D	Â
Stock Option (Right to Buy)	12/09/2016 ⁽⁷⁾	12/09/2025	Common Stock	17,825	\$ 128.93	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
King Ian 34 MAPLE STREET MILFORD,Â MAÂ 01757	Â	Â	Â Sr VP, Instrument Technology	Â

Signatures

/s/ Ian King 02/11/2016

**Signature of
Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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) 5,091 Restricted Stock Units vest 20% per annum for a 5 year period beginning on December 6, 2014. A total of 811 shares of common stock representing taxes were withheld at vesting dates, December 6, 2014 and December 6, 2015.
- (2) These options vest 20% per annum for a 5 year period beginning on December 9, 2011.
- (3) These options vest 20% per annum for a 5 year period beginning on December 7, 2012.
- (4) These options vest 20% per annum for a 5 year period beginning on December 11, 2013.
- (5) These options vest 20% per annum for a 5 year period beginning on December 6, 2014.
- (6) These options vest 20% per annum for a 5 year period beginning on December 11, 2015.
- (7) These options vest 20% per annum for a 5 year period beginning on December 9, 2016.

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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