

Gagnon Robert E.  
Form 4  
July 16, 2018

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Gagnon Robert E.

2. Issuer Name and Ticker or Trading Symbol  
HARVARD BIOSCIENCE INC  
[HBIO]

5. Relationship of Reporting Person(s) to Issuer  
  
(Check all applicable)  
  
\_\_\_\_ Director      \_\_\_\_ 10% Owner  
 Officer (give title below)      \_\_\_\_ Other (specify below)  
Chief Financial Officer

(Last)      (First)      (Middle)  
  
C/O HARVARD BIOSCIENCE,  
INC., 84 OCTOBER HILL ROAD  
  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
07/12/2018

HOLLISTON, MA 01746

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
\_\_\_\_ Form filed by More than One Reporting Person

(City)      (State)      (Zip)

**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) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price                             |
| Common Stock                    | 07/12/2018                           |  | M <sup>(1)</sup>               |   | 5,828   | A  | \$ 4.12                           |
| Common Stock                    | 07/12/2018                           |  | S <sup>(1)</sup>               |   | 9,145   | D  | \$ 5.25                           |
| Common Stock                    | 07/13/2018                           |  | S <sup>(1)</sup>               |   | 1,062   | D  | \$ 5.25                           |

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

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(9-02)



## Edgar Filing: Gagnon Robert E. - Form 4

- (continuation of footnote 2 above) (f) a deferred stock award of 6,625 restricted stock units which shall vest in full on January 1, 2019; (g) a deferred stock award of 28,117 restricted stock units with performance based vesting conditions, which shall vest on August 3, 2018 contingent upon achievement of a performance condition tied to relative total shareholder return; and (h) 43,371 shares of common stock held by the Reporting Person.
- (3) Includes the awards referenced in clauses (a) through (g) of footnotes (2) and (3) above plus 34,226 shares of common stock held by the Reporting Person.
  - (4) Includes the awards referenced in clauses (a) through (g) of footnotes (2) and (3) above plus 33,164 shares of common stock held by the Reporting Person.
  - (5) The option vested in four equal annual installments on each of January 1, 2015, 2016, 2017 and 2018.

### **Remarks:**

This form has been signed under power of attorney.

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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