

LUMINEX CORP

Form 4

May 05, 2014

**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 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

## OMB APPROVAL

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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**BALTHROP PATRICK J**

(Last) (First) (Middle)

**12212 TECHNOLOGY  
BOULEVARD**

(Street)

**AUSTIN, TX 78727**

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
**LUMINEX CORP [LMNX]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**05/01/2014**

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify below)

President &amp; CEO

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

**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 Indirect Beneficial Ownership (Instr. 4)
Common Stock	05/01/2014		M	34,885	A \$ 10.1	538,827	D
Common Stock	05/01/2014		S <sup>(1)</sup>	25,000	D \$ 19.1127	513,827	D
Common Stock	05/02/2014		M	41,110	A \$ 10.1	554,937	D
Common Stock	05/02/2014		S <sup>(1)</sup>	30,000	D \$ 18.995	524,937	D
Common Stock						160,506	I <sup>(4)</sup> Trusts

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

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SEC 1474  
(9-02)

**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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	Amount or Number of Shares
Stock Option (Right To Buy)	\$ 10.1	05/01/2014		M	34,885	05/31/2008 <sup>(5)</sup> 05/15/2014	Common Stock	34,885
Stock Option (Right To Buy)	\$ 10.1	05/02/2014		M	41,110	05/31/2008 <sup>(5)</sup> 05/15/2014	Common Stock	41,110

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BALTHROP PATRICK J 12212 TECHNOLOGY BOULEVARD AUSTIN, TX 78727	X		President & CEO	

## Signatures

/S/ HARRISS T. CURRIE, AS ATTORNEY-IN-FACT FOR PATRICK J.  
BALTHROP

05/05/2014

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

\* 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).

This sale is being made pursuant to a trading plan intended to comply with Rule 10b5-1 adopted by the seller on February 28, 2012. The  
(1) representation regarding the seller's knowledge of material adverse non-public information speaks as of the date that the aforementioned trading plan was adopted.

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(2) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$19.01 to \$19.32, inclusive. Mr. Balthrop undertakes to provide to Luminex Corporation, any security holder of Luminex Corporation, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote 2 to this Form 4.

(3) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$18.77 to \$19.23, inclusive. Mr. Balthrop undertakes to provide to Luminex Corporation, any security holder of Luminex Corporation, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote 3 to this Form 4.

(4) The reporting person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein, and the inclusion of these shares in this report shall not be deemed an admission of beneficial ownership of all of the reported shares for purposes of Section 16 or for any other purpose.

(5) The options vested in four installments on May 15, 2005, June 30, 2005, April 30, 2008 and May 31, 2008.

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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