

West Thomas A.
Form 4
November 07, 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 *
West Thomas A.

2. Issuer Name and Ticker or Trading Symbol
HOLOGIC INC [HOLX]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
250 CAMPUS DRIVE

(Street)

3. Date of Earliest Transaction (Month/Day/Year)
11/05/2018

___ Director ___ 10% Owner
 Officer (give title below) ___ Other (specify below)
Div President & GM, Diagnostic

MARLBOROUGH, MA 01752

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 (D) Price | | | |
| Common Stock | 10/03/2018 | | M | 4,064 (1) A (2) | 32,970 (3) | D | |
| Common Stock | 11/05/2018 | | M | 2,086 (1) A (2) | 35,664 (4) (5) | D | |
| Common Stock | 11/05/2018 | | A | 14,388 (6) A (2) | 50,052 (4) (7) | D | |

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

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number.

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) | 8. Pr Deriv Secur (Instr. | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|---------------------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Restricted Stock Unit Award (Right To Receive) | \$ 0 ⁽²⁾ | 10/03/2018 | | M | 4,064 | ⁽⁸⁾ | ⁽⁸⁾ | Common Stock | 4,064 |
| Restricted Stock Unit Award (Right To Receive) | ⁽²⁾ | 11/05/2018 | | M | 2,086 | ⁽⁹⁾ | ⁽⁹⁾ | Common Stock | 2,086 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|--------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| West Thomas A. 250 CAMPUS DRIVE MARLBOROUGH, MA 01752 | | | Div President & GM, Diagnostic | |

Signatures

/s/ Patricia K. Dolan, attorney-in-fact for Mr. West
 11/07/2018
 **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).
- (1) Represents vested restricted stock units, the settlement of which has been deferred pursuant to the Issuer's Deferred Equity Plan and are voluntarily being reported on Table I.
- (2) Restricted stock units and performance stock units are settled in shares of common stock on a one-for-one basis.

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- (3) Includes 18,053 restricted stock units, the settlement of which has been deferred pursuant to the Issuer's Deferred Equity Plan.
- (4) Includes 608 shares acquired pursuant to the Issuer's employee stock purchase plan since the date of the Reporting Person's most recently filed Form 4.
- (5) Includes 20,139 restricted stock units/performance stock units, the settlement of which has been deferred pursuant to the Issuer's Deferred Equity Plan.
- (6) Represents vested performance stock units, the settlement of which has been deferred pursuant to the Issuer's Deferred Equity Plan and are being voluntarily reported on Table I.
- (7) Includes 34, 527 restricted stock units/performance share units, the settlement of which has been deferred pursuant to the Issuer's Deferred Equity Plan.
- (8) This restricted stock unit award vests in four installments beginning on first anniversary of the grant date, October 3, 2014.
- (9) Represents restricted stock units which vest in equal installments on each of the first three anniversaries of the grant date, November 5, 2015.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.