

SCHWARTZ NORMAN D
Form 4
September 06, 2018

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

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
SCHWARTZ NORMAN D

(Last) (First) (Middle)

C/O BIO-RAD LABORATORIES,
INC., 1000 ALFRED NOBEL
DRIVE

(Street)

HERCULES, CA 94547

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
BIO-RAD LABORATORIES, INC.
[BIO, BIOB]

3. Date of Earliest Transaction
(Month/Day/Year)
09/05/2018

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)
Chairman, President, and 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)
Bio-Rad B Common Stock				(A) or (D)	Price		
			Code	V	Amount		
Bio-Rad B Common Stock					256,145	D	
Bio-Rad A Common Stock	09/05/2018		M	2,600 (1)	A \$ 0	413,852	D
Bio-Rad A Common Stock	09/05/2018		F	1,290	D \$ 315.5	412,562	D

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Bio-Rad B Common Stock	12,717	I	By Spouse (2)
Bio-Rad B Common Stock	4,060,054	I	By Blue Raven Partners, L.P. (3)

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

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(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)	8. Pr Deriv Secu (Instr		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock Units	\$ 0 ⁽⁴⁾	09/05/2018		M	2,600	⁽⁵⁾	⁽⁵⁾	Bio-Rad A Common Stock	2,600	\$

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SCHWARTZ NORMAN D C/O BIO-RAD LABORATORIES, INC. 1000 ALFRED NOBEL DRIVE HERCULES, CA 94547	X	X	Chairman, President, and CEO	

Signatures

Norman D.
Schwartz

09/06/2018

Date

Signature of
Reporting Person

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) Shares of Class A common stock acquired on the vesting of restricted stock units.
- (2) The reporting person disclaims beneficial ownership of these shares.
- (3) The shares are held by a limited partnership of which the reporting person is a limited and general partner. The reporting person disclaims beneficial ownership of the reported securities except to the extent of his pecuniary interest therein.
- (4) Each restricted stock unit represents a contingent right to receive one share of Bio-Rad Class A common stock.
- (5) The restricted stock units vest in five equal annual installments beginning September 5, 2018.

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.