Edgar Filing: SPERLING SCOTT M - Form 4

Form 4 October 02, 2018 FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 Check this box if no longer STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP Form 4 or Form 5 Filed pursuant to Section 16(a) of the Everities Exchange Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1940 Section 17(a) of the Public Utility Holding Company Act of 1940 I(b). (Print or Type Response.) 1. Name and Address of Reporting Person Section 17(a) of the Public Utility Holding Company Act of 1940 I(b). (Print or Type Response.) 1. Name and Address of Reporting Person SpERLING SCOTT M Symbol THERMO FISHER SCIENTIFIC INC. [TMO] (Last) (If ins) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) C/O THOMAS H. LEE PARTNEERS, 09/29/2018 L.P., 100 FEDERAL STREET, 35TH FLOOR (Street) 4. If Amendment, Date Original FieldMonth/Day/Year) Applicable Line -X, Form filed by One Reporting Person -X, Form filed b	SPERLING	SCOTT M								
FORM 4 UNITED STATES SECURITIES subject to Section 16, Form 4 or Form 5 or Section 16 or Form 4 or Form 5 or Section 17(a) of the Public Utility Holding Company Act of 1934, obligations may continue. See Instruction 1(b). STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Mile 3235-0287 Expires: 2005 Section 16, 0(a) of the Securities Exchange Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 1(b). Statement Of Changes Act of 1934, 0(b) of the Investment Company Act of 1940 (b). Statement Of Changes Act of 1934, 0(b) of the Investment Company Act of 1940 (b). (Print or Type Responses) 1. Issuer Name and Ticker or Trading Symbol THERMO FISHER SCIENTIFIC INC. [TMO] 5. Relationship of Reporting Person(s) to Issuer (Last) (First) Middle 3. Date of Earliest Transaction (Month/Day/Year) 5. Relationship of Reporting Person(s) to Issuer (Last) (First) Middle 3. Date of Earliest Transaction (Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) -X. Form filed by More than One Reporting Person - Form filed by More than One Reporting Person	Form 4	2010								
CURINI 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB Number: 3235-0287 Check this box if no longer subject to subject to subject to subject to subject to section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES MB Number: 3235-0287 Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Sec Instruction 1(b). Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, other and a the public Utility Holding Company Act of 1940 1(b). Section 17(a) of the Public Utility Holding Company Act of 1940 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person ⁺ . 2. Issuer Name and Ticker or Trading Symbol THERMO FISHER SCIENTIFIC INC. [TMO] S. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner (C/O THOMAS H. LEE PARTNERS, 35TH FLOOR (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check ApplicabeLine) Dom Ferentige Person Form filed by More than One Reporting Person OSTON, MA 02110 (Zip) Table I - Non-Derivative Securities Accurities Code 5. Amount of Disposed of or Beneficially Owned 6. Ownership Owned 7. Nature of Code Owned Disposed of (D) 6. Owner										
if no longer subject to Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16. Expires. 2005 Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section see Instruction 30(h) of the Investment Company Act of 1940 1(b). 5. Relationship of Reporting Person(s) to Issuer 5. Relationship of Reporting Person(s) to Issuer 6. Relationship of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person 1 (b). 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer 1000 (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner C/O THOMAS H. LEE PARTNERS, U.P., 100 FEDERAL STREET, 35TH FLOOR (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filingt/Check Applicable Line) 		UNITED	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							
1. Name and Address of Reporting Person * SPERLING SCOTT M 2. Issuer Name and Ticker or Trading Symbol THERMO FISHER SCIENTIFIC INC. [TMO] 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Check all applicable) C/O THOMAS H. LEE PARTNERS, 35TH FLOOR 09/29/2018 —	subject to Section 1 Form 4 c Form 5 obligatio may com See Instr	6. Filed pu ns tinue. Section 17								
SPERLING SCOTT M Symbol Issuer Issuer SPERLING SCOTT M Symbol Issuer Issuer Image: Control of the symbol THERMO FISHER SCIENTIFIC INC. [TMO] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Image: Control of the symbol C/O THOMAS H. LEE PARTNERS, JOP/29/2018 09/29/2018 Image: Control of the symbol Image: Control of the symbol L.P., 100 FEDERAL STREET, 35TH FLOOR (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) - X_ Form filed by More than One Reporting Person - Form filed by More than One Reporting Person BOSTON, MA 02110 Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of Security 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of Securities Form: Direct Indirect Security (Month/Day/Year) (Instr. 3) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 3) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (I) Ownership Following (Instr. 4)	(Print or Type]	Responses)								
C/O THOMAS H. LEE PARTNERS, 09/29/2018 Officer (give tile below) Officer (give tile below) L.P., 100 FEDERAL STREET, 35TH FLOOR 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) STON, MA 02110 Year) Ander the original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) Korrent filed by More than 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 2. Transaction Date 2A. Deemed any (Month/Day/Year) 3. 4. Securities Securities Securities Form: Direct Indirect any (Month/Day/Year) (Instr. 3) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (I) Ownership Following (Instr. 4) (A) or (Instr. 3 and 4) Ownership Following Instr. 4)		Symbol THERMO FISHER SCIENTIFIC				Issuer	Issuer			
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BOSTION, MA 02110 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of Security 2. Transaction Date (Month/Day/Year) 2A. Deemed 3. 4. Securities 5. Amount of Securities 6. Ownership 7. Nature of Form: Direct (Instr. 3) 2. Transaction Date (Month/Day/Year) 2A. Deemed 3. 4. Securities 5. Amount of Code Disposed of (D) 6. Ownership 7. Nature of Form: Direct (Instr. 3) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (I) Ownership (A) (A) (Instr. 4) (Instr. 4) (Instr. 4) (A) (Instr. 3 and 4) (Instr. 3 and 4) (Instr. 3 and 4)		-				Applicable Line) _X_ Form filed by C	Applicable Line) _X_ Form filed by One Reporting Person			
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.	Reminder: Rer	oort on a separate lin	e for each cl	ass of sec						

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

Reporting Owners

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	Code	5. Number of torDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Expiration Da (Month/Day/	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
			Code V	(A) (D	D) Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock Units	<u>(1)</u>	09/29/2018	А	128.03	(2)	(2)	Common Stock	128.03 (2)	9

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

SPERLING SCOTT M C/O THOMAS H. LEE PARTNERS, L.P. 100 FEDERAL STREET, 35TH FLOOR BOSTON, MA 02110

Signatures

/s/ Scott M. 10/02/2018 Sperling

<u>**</u>Signature of Reporting Person Date

of

on

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) Convertible into Common Stock on a 1-for-1 basis.

Represents stock units credited to the Reporting Person's account as of September 29, 2018, at a price of \$244.08 per unit pursuant to the Issuer's Deferred Compensation Plan for Directors (the "Plan"). Directors' retainers are deferred quarterly under the Plan as Common

(2) Issuer's before compensation than for Directors (the Than). Directors retainers are deterred quartery under the than as common Stock units based on the closing price of the stock as of the quarter end. The shares are distributable as stock upon cessation of director service (for any reason) or a change of control.

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.