

HARVARD BIOSCIENCE INC

Form 4/A

June 03, 2014

# FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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 \*  
HARTE NEAL J

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

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

UNIT # 1, 83 CHURCH STREET

05/29/2014

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)  
06/02/2014

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

WINCHESTER, MA 01890

(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 or Price (A) or (D)		
Common Stock	05/29/2014		M		13,317 A \$ 3.82		D
Common Stock	05/29/2014		S		12,317 (1) D \$ 4.27 (5)		D
Common Stock	05/30/2014		A		19,400 (2) A \$ 0 44,658 (3)		D

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form

SEC 1474 (9-02)

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)

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. Amount or Number of Shares
Stock option (right to buy)	\$ 3.82	05/29/2014		M	13,317	<sup>(4)</sup> 06/21/2014	Common stock, par value \$0.01 per share	13,317

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HARTE NEAL J UNIT # 1 83 CHURCH STREET WINCHESTER, MA 01890		X		

## Signatures

Neal J. Harte                      06/03/2014  
 \_\_Signature of                      Date  
 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) Represents shares sold to cover the exercise price of the option as part of a broker-assisted cashless exercise.
- (2) Includes a deferred stock award of 19,400 restricted stock units which shall fully vest on May 30, 2015.  
Includes (a) a deferred stock award of 19,400 restricted stock units which shall fully vest on May 30, 2015; and (b) a deferred stock award of 3,688 restricted stock units which shall fully vest on June 1, 2015; and (c) 21,570 shares of common stock held by the Reporting Person.
- (4) The options vested in three equal installments on June 21, 2005, 2006 and 2007.
- (5) This transaction was executed in multiple trades at prices ranging from \$4.2647 to \$4.2721. The price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security

## Edgar Filing: HARVARD BIOSCIENCE INC - Form 4/A

holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

### **Remarks:**

This form is filed to restate the initial Form 4 filing made on June 2, 2014 in order to correct the reported sale price regarding t

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.