

ABBOTT LABORATORIES
Form 4
April 04, 2017

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 *
Contreras Jaime

(Last) (First) (Middle)

100 ABBOTT PARK ROAD

(Street)

ABBOTT PARK, IL 60064

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

ABBOTT LABORATORIES [ABT]

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

03/31/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

Senior Vice President

6. Individual or Joint/Group Filing(Check Applicable Line)

X 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 shares without par value | | | | | 45,339 | D | |
| Common shares without par value | | | | | 21 ⁽¹⁾ | I | Profit Sharing Trust |
| Common shares without par value | | | | | 64,297 ⁽²⁾ | I | Jaime Contreras Marvan 2006 |

| | | | | | | | | | |
|---------------------------------|------------|---|---------------------|---|-----------|------------|---|-----------|--------------------------|
| Common shares without par value | 03/31/2017 | A | <u>1,126</u> (3) | A | \$ 0 | 3,552 (4) | I | By Spouse | Living Trust |
| Common shares without par value | 03/31/2017 | F | 375 | D | \$ 44.55 | 3,177 (4) | I | By Spouse | |
| Common shares without par value | 03/31/2017 | S | 767 | D | \$ 44.641 | 2,410 (4) | I | By Spouse | |
| Common shares without par value | | | | | | 12,081 (5) | I | | Living Trust (by spouse) |

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 displays a currently valid OMB control number.

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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. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
| | | | | | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| | | | | | | Code | V (A) (D) | | |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Contreras Jaime
100 ABBOTT PARK ROAD
ABBOTT PARK, IL 60064

Senior Vice President

Signatures

John A. Berry, by power of attorney for Jaime
Contreras

04/04/2017

__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) Balance in the Abbott Laboratories Stock Retirement Trust as of March 31, 2017.
- (2) Held in the Jaime Contreras Marvan 2006 Living Trust. The reporting person is sole trustee of the trust. The trust is revocable.
This grant represents a restricted stock unit award under the Abbott Laboratories 2009 Incentive Stock Program. The award has a 3-year
- (3) term, with no more than 1/3 of the award vesting on each anniversary of the grant date. The award includes the right to have stock withheld for tax purposes.
- (4) The reporting person disclaims beneficial ownership of all securities held by his spouse.
- (5) Held in spouse's living trust. The reporting person's spouse is sole trustee of the trust. The trust is revocable. The reporting person disclaims beneficial ownership of these securities.

Remarks:

The sale transaction was made pursuant to a previously adopted plan complying with Rule 10b5-1(c).

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.