

TOKICH MICHAEL J  
Form 4  
March 28, 2019

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
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 \*  
TOKICH MICHAEL J

(Last) (First) (Middle)

C/O RUTHERFORD HOUSE,  
STEPHENSONS  
WAY, CHADDESSEN

(Street)

DERBY, X0 DE21 6LY

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
STERIS plc [STE]

3. Date of Earliest Transaction  
(Month/Day/Year)  
03/28/2019

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)  
Sr. Vice Pres., CFO

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 Ownership (Instr. 4) |
|-------------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                     |                                      |  | Code                           | V   | Amount (A) or (D) Price   |  |                                   |
| Ordinary Shares, 10 pence par value | 03/28/2019                           |  | D                              |   | 50,458<br>(1)   | D  |                                   |
| Ordinary Shares, 10 pence par value | 03/28/2019                           |  | D                              |   | 3,406<br>(2)  | I  | See Footnote Below. (3)           |

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

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SEC 1474  
(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) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable Expiration Date                         | Title Amount or Number of Shares                              |
| Employee Stock Option (right to buy)       | \$ 45.34   | 03/28/2019                           |  | D                              | 22,000  | <u>(4)</u> 05/31/2023                                    | Ordinary Shares 22,000  |
| Employee Stock Option (right to buy)       | \$ 53.52   | 03/28/2019                           |  | D                              | 28,000  | <u>(5)</u> 05/30/2024                                    | Ordinary Shares 28,000  |
| Employee Stock Option (right to buy)       | \$ 67.98   | 03/28/2019                           |  | D                              | 20,000  | <u>(6)</u> 08/10/2025                                    | Ordinary Shares 20,000  |
| Employee Stock Option (right to buy)       | \$ 69.72   | 03/28/2019                           |  | D                              | 30,000  | <u>(7)</u> 06/01/2026                                    | Ordinary Shares 30,000  |
| Employee Stock Option (right to buy)       | \$ 77.07   | 03/28/2019                           |  | D                              | 32,000  | <u>(8)</u> 05/30/2027                                    | Ordinary Shares 32,000  |
| Employee Stock Option (right to            | \$ 114.22  | 03/28/2019                           |  | D                              | 46,664  | <u>(9)</u> 05/31/2028                                    | Ordinary Shares 46,664  |

buy)

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                     |       |
|---|---------------|-----------|---------------------|-------|
|   | Director      | 10% Owner | Officer             | Other |
| TOKICH MICHAEL J<br>C/O RUTHERFORD HOUSE, STEPHENSONS WAY<br>CHADDESSEN<br>DERBY, X0 DE21 6LY |               |           | Sr. Vice Pres., CFO |       |

## Signatures

/s/ Ronald E. Snyder, Authorized Representative under Power of Attorney

03/28/2019

\_\_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) 25,940 of these ordinary shares are restricted. The restrictions on these ordinary shares lapse as follows: 7,000 on May 28, 2019; 4,000 on October 1, 2019; 4,700 on June 1, 2020; 6,000 on June 1, 2021; and 4,240 on May 31, 2022.
- Represents ordinary shares of STERIS plc, a public limited company organized under the laws of England and Wales ("Old STERIS"), cancelled pursuant to a court-approved scheme of arrangement under English law (the "Scheme"). In connection with the Scheme, the reporting person received ordinary shares of STERIS plc, a public limited company organized under the laws of Ireland ("STERIS"), in an amount equal to the number of the reporting person's cancelled Old STERIS shares. The reporting person's STERIS shares will be subject to terms and conditions, including restrictions, substantially identical to those that were applicable to the Old STERIS shares. Following the completion of the Scheme, STERIS became the ultimate holding company of Old STERIS.
- (2) Units representing 3,406 ordinary share equivalents are held on behalf of the Reporting Person under the STERIS Corporation 401(k) Plan as of March 27, 2019.
- This option is fully vested. This option was assumed by STERIS under the Scheme and converted to an option to purchase 22,000 ordinary shares of STERIS for \$45.34 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.
- (3) This option is fully vested. This option was assumed by STERIS under the Scheme and converted to an option to purchase 28,000 ordinary shares of STERIS for \$53.52 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.
- (4) This option will become exercisable as follows: 5,000 on May 28, 2016; 5,000 on May 28, 2017; 5,000 on May 28, 2018 and 5,000 on May 28, 2019. This option was assumed by STERIS under the Scheme and converted to an option to purchase 20,000 ordinary shares of STERIS for \$67.98 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.
- (5) This option becomes exercisable as follows: 7,500 on June 1, 2017; 7,500 on June 1, 2018; 7,500 on June 3, 2019 and 7,500 on June 1, 2020. This option was assumed by STERIS under the Scheme and converted to an option to purchase 30,000 ordinary shares of STERIS for \$69.72 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.
- (6) This option becomes exercisable as follows: 8,000 on May 30, 2018; 8,000 on May 30, 2019; 8,000 on June 1, 2020 and 8,000 on June 1, 2021. This option was assumed by STERIS under the Scheme and converted to an option to purchase 32,000 ordinary shares of STERIS for \$77.07 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.
- (7) This option becomes exercisable as follows: 11,666 on May 31, 2019; 11,666 on June 1, 2020; 11,666 on June 1, 2021 and 11,666 on May 31, 2022. This option was assumed by STERIS under the Scheme and converted to an option to purchase 46,664 ordinary shares of STERIS for \$114.22 per share, subject to the same terms and conditions that were applicable to the original Old STERIS option.
- (8) (9)

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.