

HARVARD BIOSCIENCE INC  
Form 4  
June 02, 2014

**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 \*  
HARTE NEAL J

(Last) (First) (Middle)

UNIT # 1, 83 CHURCH STREET

(Street)

WINCHESTER, MA 01890

(City) (State) (Zip)

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

3. Date of Earliest Transaction  
(Month/Day/Year)  
05/29/2014

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)

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. 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                             |
| Common Stock                    | 05/29/2014                           |  | M                  |   | 13,317  | A  | \$ 3.82                           |
| Common Stock                    | 05/29/2014                           |  | S                  |   | 12,317<br>(1)   | D  | \$ 3.82                           |
| Common Stock                    | 05/30/2014                           |  | A                  |   | 19,400<br>(2)   | A  | \$ 0                              |
|                                 |                                      |  |                    |   |   |  | 44,658 (3)                        |

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

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(9-02)

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<br>UNIT # 1<br>83 CHURCH STREET<br>WINCHESTER, MA 01890 |               | X         |         |       |

## Signatures

Neal J. Harte 06/02/2014

\*\*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) 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.
- (3) 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.

### Remarks:

This form is signed under power of attorney.

## Edgar Filing: HARVARD BIOSCIENCE INC - Form 4

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