

BERENDT MICHAEL J

Form 4

January 04, 2019

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
BERENDT MICHAEL J

2. Issuer Name **and** Ticker or Trading
Symbol
WATERS CORP /DE/ [WAT]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
34 MAPLE STREET
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
01/02/2019

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

MILFORD, MA 01757

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by 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 (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 Stock	01/02/2019 ⁽¹⁾	01/02/2019	M	3,500 A	\$ 38.09 27,411	D	
Common Stock	01/02/2019 ⁽²⁾	01/02/2019	S	3,500 D	\$ 184.74 23,911	D	
Common Stock	01/02/2019		A	599 ⁽³⁾ A	\$ 0 24,510	D	

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

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information contained in this form are not
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SEC 1474
(9-02)

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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 Underlying Security (Instr. 3 and 4)	Amount or Number of Shares
Stock Option (Right to Buy)	\$ 38.09	01/02/2019 ⁽¹⁾	01/02/2019	M	3,500	01/02/2010 01/02/2019	Common Stock	3,500
Stock Option (Right to Buy)	\$ 183.41	01/02/2019		A	1,760	01/02/2020 ⁽⁴⁾ 01/02/2029	Common Stock	1,760

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BERENDT MICHAEL J 34 MAPLE STREET MILFORD, MA 01757	X			

Signatures

/s/ Michael J
Berendt

01/04/2019

**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) Acquisition of common stock was made under a sale plan established pursuant to the requirements of Rule 10b5-1 under the Securities Exchange Act of 1934, as amended.
- (2) Sale of common stock was made under a sale plan established pursuant to the requirements of Rule 10b5-1 under the Securities and Exchange Act of 1934, as amended.
- (3) Grant of shares of common stock subject to restrictions that lapse January 2, 2020.
- (4) Options fully vest on January 2, 2020.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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