

Steris plc
Form 4
November 02, 2015

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 *
Forsythe Suzanne V

(Last) (First) (Middle)

C/O CHANCERY HOUSE, 190
WATERSIDE ROAD, HAMILTON
INDUSTRIAL PARK

(Street)

LEICESTER, X0 LE5 1QZ

(City) (State) (Zip)

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

3. Date of Earliest Transaction
(Month/Day/Year)
11/02/2015

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)

V. P. - Human Resources

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 Ownership (Instr. 4) |
|--------------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | | (A) or (D) | Price | | |
| | | | | Code | V | Amount | |
| Ordinary Shares, 70.10 Nominal Value | 11/02/2015 | | A | 9,908 (1) | A | 2 | 9,908 D |
| Ordinary Shares, 70.10 Nominal Value | 11/02/2015 | | A | 1,035 | A | 2 | 1,036 I |

See Footnote Below. (3)

Edgar Filing: Steris plc - Form 4

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.

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) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Employee Stock Option (right to buy) | \$ 22.83 | 11/02/2015 | | A | 1,700 | <u>(4)</u> 05/21/2019 | Ordinary Shares, ?0.10 Nominal Value | 1,700 |
| Employee Stock Option (right to buy) | \$ 31.87 | 11/02/2015 | | A | 700 | <u>(5)</u> 05/20/2020 | Ordinary Shares, ?0.10 Nominal Value | 700 |
| Employee Stock Option (right to buy) | \$ 36.09 | 11/02/2015 | | A | 650 | <u>(6)</u> 05/31/2021 | Ordinary Shares, ?0.10 Nominal Value | 650 |
| Employee Stock Option (right to buy) | \$ 29.94 | 11/02/2015 | | A | 3,500 | <u>(7)</u> 05/30/2022 | Ordinary Shares, ?0.10 Nominal Value | 3,500 |
| Employee Stock Option (right to buy) | \$ 45.34 | 11/02/2015 | | A | 4,000 | <u>(8)</u> 05/31/2023 | Ordinary Shares, ?0.10 Nominal Value | 4,000 |
| Employee Stock | \$ 53.52 | 11/02/2015 | | A | 9,000 | <u>(9)</u> 05/30/2024 | Ordinary Shares, | 9,000 |

| | | | | | | | | |
|--|----------|------------|---|-------|------|------------|---------------------------|-------|
| Option (right to buy) | | | | | | | 70.10 Nominal Value | |
| Employee Stock Option (right to buy) | \$ 67.98 | 11/02/2015 | A | 8,000 | (10) | 08/10/2025 | 70.10 Nominal Value | 8,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Forsythe Suzanne V C/O CHANCERY HOUSE, 190 WATERSIDE ROAD HAMILTON INDUSTRIAL PARK LEICESTER, X0 LE5 1QZ | | | V. P. - Human Resources | |

Signatures

/s/ Dennis P. Patton, Authorized Representative under Power of Attorney

11/02/2015

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) 5,338 of these ordinary shares are restricted. The restrictions on these ordinary shares lapse as follows: 563 on May 31, 2016; 1,000 on May 31, 2016; 1,000 on May 31, 2017; 425 on May 30, 2016; 425 on May 30, 2017; 425 on May 30, 2018; 375 on May 30, 2016; 375 on May 29, 2017; 375 on May 28, 2018 and 375 on May 28, 2019.
 - (2) Represents ordinary shares of STERIS plc ("New STERIS") acquired pursuant to merger of a wholly-owned subsidiary of New STERIS with and into STERIS Corporation ("STERIS"), with STERIS surviving the merger as a wholly-owned subsidiary of New STERIS (the "Merger"), in exchange for common shares of STERIS, which was consummated simultaneous with and conditioned on New STERIS' acquisition of Synergy Health plc by commencing a "recommended offer" under English law. At the effective time of the Merger, each STERIS common share was cancelled and converted into the right to receive one New STERIS ordinary share.
 - (3) Represents 1,059,274 units of the STERIS Corporation 401(k) Plan STERIS Stock Fund which equals 1,035 Common share equivalents as of October 29, 2015.
 - (4) This option to purchase 1,700 New STERIS ordinary shares, which is fully vested, was received in the Merger in exchange for an option to purchase 1,700 STERIS common shares for \$22.83 per share, subject to the same terms and conditions as the original STERIS stock option.
 - (5) This option to purchase 700 New STERIS ordinary shares, which is fully vested, was received in the Merger in exchange for an option to purchase 700 STERIS common shares for \$31.87 per share, subject to the same terms and conditions as the original STERIS stock option.
 - (6) This option to purchase 650 New STERIS ordinary shares, which is fully vested, was received in the Merger in exchange for an option to purchase 650 STERIS common shares for \$36.09 per share, subject to the same terms and conditions as the original STERIS stock option.
 - (7) This option became or will become exercisable as follows: 875 on May 30, 2013; 875 on May 30, 2014; 875 on May 30, 2015 and 875 on May 30, 2016. This option was received in the Merger in exchange for an option to purchase 3,500 STERIS common shares for \$ 29.94 per share, subject to the same terms and conditions as the original STERIS stock option.

Edgar Filing: Steris plc - Form 4

(8) This option became or will become exercisable as follows: 1,000 on May 31, 2014; 1,000 on May 31, 2015; 1,000 on May 31, 2016 and 1,000 on May 31, 2017. This option was received in the Merger in exchange for an option to purchase 4,000 STERIS common shares for \$45.34 per share, subject to the same terms and conditions as the original STERIS stock option.

(9) This option became or will become exercisable as follows: 2,250 on May 30, 2015; 2,250 on May 30, 2016; 2,250 on May 30, 2017 and 2,250 on May 30, 2018. This option was received in the Merger in exchange for an option to purchase 9,000 STERIS common shares for \$53.52 per share, subject to the same terms and conditions as the original STERIS stock option.

(10) This option becomes exercisable as follows: 2,000 on May 28, 2016; 2,000 on May 28, 2017; 2,000 on May 28, 2018 and 2,000 on May 28, 2019. This option was received in the Merger in exchange for an option to purchase 8,000 STERIS common shares for \$67.98 per share, subject to the same terms and conditions as the original STERIS stock option.

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.