# SEC Form 4

Instruction 1(b).

# FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

1		or Section So(n) of the investment Company Act of 1540				
1. Name and Address of Reporting Person <sup>*</sup> EDRICK ALAN I		2. Issuer Name and Ticker or Trading Symbol HARVARD BIOSCIENCE INC [ HBIO ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
			X	Director	10% Owner	
			-	Officer (give title	Other (specify	
(Last) (Fir	, , ,	3. Date of Earliest Transaction (Month/Day/Year) 06/12/2020		below)	below)	
C/O HARVARD BIO	OSCIENCE					
84 OCTOBER HILL ROAD						
		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicabl Line)			
(Street)			X	Form filed by One Re	porting Person	
HOLLILSTON MA	A 01746			an One Reporting		
(City) (Sta	ate) (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)	Code (		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)		Securities Beneficially	Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150. 4)
Common Stock	06/12/2020		Р		20,000	Α	<b>\$2.625</b> <sup>(1)</sup>	67,500 <sup>(2)</sup>	D	

#### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 5. Numbei 3A. Deemed Execution Date, 6. Date Exercisable and Expiration Date 7. Title and Amount of 8. Price of Derivative 9. Number of derivative 10. Ownership 11. Nature of Indirect 1. Title of 3. Transaction Derivative Conversion Date Transaction (Month/Day/Year) Derivative Security or Exercise if any (Month/Day/Year) Code (Instr. (Month/Day/Year) Securities Security Securities Form: Beneficial Securities Acquired Ownership (Instr. 3) Price of 8) Underlying (Instr. 5) Beneficially Direct (D) (Instr. 4) Derivative or Indirect Derivative Owned Security (A) or Disposed Security (Instr. 3 and 4) Following (I) (Instr. 4) Reported of (D) (Instr. 3, 4 and 5) Transaction(s) (Instr. 4) Amount or Number Expiration Date

Exercisable

Date

### **Explanation of Responses:**

1. This transaction was executed in multiple trades at prices ranging from \$2.60 to \$2.65, inclusive. The price reported above reflects the weighted average purchase price. The Reporting Person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected. 2. Includes (a) a restricted stock unit award with 11,775 remaining unvested restricted stock units vesting in equal quarterly installments on June 30, 2020, September 30, 2020 and December 31, 2020; and (b) 55,725 shares of common stock held by the Reporting Person.

## Remarks:

This form has been signed under power of attorney.

/s/ David Sirois, by power of attorney

of Shares

Title

06/16/2020

Date \*\* Signature of Reporting Person

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

\* 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).

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

v Code

(A) (D)

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 Number.