FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations may continue. See Instruction 1(b).

## **UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

| gton, D.C. 20549 | OMB APPROVAL     |
|------------------|------------------|
|                  | 0111B7111110171E |

| STATEMENT | OF CHANGES | IN BENEFICIAL | OWNERSHIP |
|-----------|------------|---------------|-----------|
|           |            |               |           |

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| 1. Name and Address of Reporting Person* <u>Rossi Michael A.</u> |   |                   |          | 2. Issuer Name and Ticker or Trading Symbol HARVARD BIOSCIENCE INC [ HBIO ] |   |              |        |  |                         |      |   |   |  | all applica<br>Director                            |  |            | on(s) to Issue<br>10% Ow<br>Other (s)                                    | ner  |           |  |
|--|---|-------------------|----------|---|---|--------------|--------|--|-------------------------|------|---|---|--|--|--|------------|--|--|-----------|--|
| (Last)   | ,   | irst)<br>DSCIENCE | (Middle) |   | 3. Date of Earliest Transaction (Month/Day/Year) 07/18/2019 |              |        |  |                         |      |   |   |  |  | below)   | Jecny      |  |  |           |  |
| 84 OCTOBER HILL ROAD   |   |                   |          |   |   |              |        |  |                         |      |   |   |  |  |  |            |  |  |           |  |
| (Street) HOLLIS  | TON M   | ÍA                |          |   | 4. If <i>F</i>  |              |        |  |                         |      |   |   |  | . Indiv<br>ine)<br>X                               | ividual or Joint/Group Filing (Check Applicable  Form filed by One Reporting Person  Form filed by More than One Reporting  Person |            |  |  |           |  |
| (City)   | (S  | tate)             | (Zip)    |   |   |              |        |  |                         |      |   |   |  |  |  |            |  |  |           |  |
|  | Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned  |                   |          |   |   |              |        |  |                         |      |   |   |  |  |  |            |  |  |           |  |
| 1. Title of Security (Instr. 3)  2. Transa Date (Month/Date)     |   |                   |          | Execution   |   |              | Date,  | Code (In   | Transaction Disposed C  |      |   |   | and 5) Securities<br>Beneficia<br>Owned Fo |  | s For<br>lly (D)<br>ollowing (I) (   |            | Direct III<br>Indirect E<br>str. 4) C                                    | 7. Nature of<br>ndirect<br>Beneficial<br>Ownership                 |           |  |
|  |   |                   |          |   |   |              |        |  | Code                    | v    | Amount  | (A) or<br>(D)                               | Price                                      | ice Reporte<br>Transa<br>(Instr. 3                 |  | ion(s)     |  |  | Instr. 4) |  |
| Common Stock 07/18   |   |                   |          | /2019   |   | A            |        | 47,753   | (1) A                   | \$0. | .00   | 47,753 <sup>(2)</sup>                       |  |  | D  |            |  |  |           |  |
|  | Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned  (e.g., puts, calls, warrants, options, convertible securities) |                   |          |   |   |              |        |  |                         |      |   |   |  |  |  |            |  |  |           |  |
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)              | erivative Conversion Date Execution Date, Trecurity or Exercise (Month/Day/Year) if any   |                   | te, Tra  | ansaction ode (Instr. 5   |   | Derivative E |        | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                         |      | 7. Title and Amount<br>of Securities<br>Underlying<br>Derivative Security<br>(Instr. 3 and 4) |   |  | s. Price of<br>Derivative<br>Security<br>Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s                        |            | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |           |  |
|  |   |                   |          | Cod   | de V  | (A           | A)     |  | Date<br>Exercisable     |      | Expiration<br>Date  | Title                                       | Amoun<br>or<br>Numbe<br>of Shar            | r  |  | (Instr. 4) | on(s)  |  |           |  |
| Stock<br>option<br>(right to<br>buy)                             | \$1.78  | 07/18/2019        |          | А   |   | 11           | 11,842 |  | 07/18/2020 <sup>(</sup> | (3)  | 07/18/2029  | Common<br>Stock,<br>par value<br>\$0.01 per | 111,8                                      | 42   | \$0.00   | 111,84     | 2  | D  |           |  |

## **Explanation of Responses:**

- 1. Represents a deferred stock award of 47,753 restricted stock units with performance based vesting conditions. These restricted stock units shall vest in equal installments on July 18, 2020, 2021 and 2022, and are linked to the achievement of a relative total shareholder return of the Issuer's common stock from July 18, 2019 to the earlier of (i) July 18, 2020 or (ii) upon a change of control (measured relative to the NASDAQ Biotechnology index and based on the 20-day trading average price before each such date). The target number of these restricted stock units that may be earned is reported above; the maximum amount is 150% of the number reported.
- 2. Includes the award described in footnote (1) above.
- 3. The options vest in four equal annual installments on July 18, 2020, 2021, 2022 and 2023.

## Remarks:

/s/ Chad Porter, by power of attorney

07/30/2019

\*\* Signature of Reporting Person

Date

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.

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