SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

OMB APPROVAL

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		T lied	or Section 30(h) of the Investment Company Act of 1940						
1. Name and Address of Reporting Person*			2. Issuer Name and Ticker or Trading Symbol HARVARD BIOSCIENCE INC [HBIO]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
<u>KENNEDY JOHN F</u>				X	Director	10% Owner			
(Last) (First) (Middle) C/O HARVARD BIOSCIENCE, INC. 84 OCTOBER HILL RD.		()	3. Date of Earliest Transaction (Month/Day/Year) 03/17/2021	-	Officer (give title below)	Other (specify below)			
			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street)				X	Form filed by One Repo	rting Person			
HOLLISTON	MA	01746			Form filed by More than Person	One Reporting			
(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)					5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	ount (A) or Brice Transact		Transaction(s) (Instr. 3 and 4)		
Common Stock	03/17/2021		G	v	6,250	D	\$0.00 ⁽¹⁾	336,489 ⁽²⁾	D	
Common Stock	03/17/2021		G	v	6,250	D	\$0.00 ⁽³⁾	330,239 ⁽⁴⁾	D	

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. Transa Code (8)		5. Number of Expiration Dat Derivative Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		ate	and 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. This transaction involved a gift of securities by the Reporting Person. Disposition price is not applicable as this transaction was a bona fide gift.

2. Includes (a) a deferred stock award of 13,200 restricted stock units which vest quarterly in equal installments on March 31, 2021, June 30, 2021, September 30, 2021 and December 31, 2021 and are subject to continued service as a non-employee director on the applicable vesting dates, (b) an award of 28,100 restricted stock units that fully vest on the earlier to occur of (i) the date of the Issuer's next Annual Meeting of Stockholders after June 11, 2020, immediately prior to the commencement of such meeting, or (ii) June 18, 2021, and (c) 295,189 shares of common stock held by the Reporting Person.

3. This transaction involved a gift of securities by the Reporting Person. Disposition price is not applicable as this transaction was a bona fide gift.

4. Includes (a) the shares and awards described in footnote (2) above, less (b) the disposition of shares reported in footnote (3) above.

<u>/s/ David Sirois, by power of</u> 03/19/2021

attorney

** Signature of Reporting Person Date

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

 \ast 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.

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.

to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).