

Auerbach Robert D
Form 4
January 09, 2019

FORM 4

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

OMB APPROVAL

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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 *
Auerbach Robert D

(Last) (First) (Middle)

C/O THE COOPER COMPANIES,
INC., 6140 STONERIDGE MALL
ROAD, SUITE 590

(Street)

PLEASANTON, CA 94588

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

COOPER COMPANIES INC [COO]

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

01/08/2019

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
President, CSI

6. Individual or Joint/Group Filing(Check Applicable Line)
 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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V | Amount or Price | | |
| Common Stock | 01/08/2019 | | M | | 750 A \$ 0 3,022 | D | |
| Common Stock | 01/08/2019 | | F | | 261 ⁽¹⁾ D \$ 0 2,761 | D | |
| Common Stock | 01/08/2019 | | M | | 555 A \$ 0 3,316 | D | |
| Common Stock | 01/08/2019 | | F | | 174 ⁽¹⁾ D \$ 0 3,142 | D | |
| Common Stock | 01/08/2019 | | M | | 342 A \$ 0 3,484 | D | |

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| | | | | | | | |
|--------------|------------|---|----------------|---|------|-------|---|
| Common Stock | 01/08/2019 | F | 108 <u>(1)</u> | D | \$ 0 | 3,376 | D |
| Common Stock | 01/08/2019 | M | 57 | A | \$ 0 | 3,433 | D |
| Common Stock | 01/08/2019 | F | 18 <u>(1)</u> | D | \$ 0 | 3,415 | D |
| Common Stock | 01/08/2019 | M | 257 | A | \$ 0 | 3,672 | D |
| Common Stock | 01/08/2019 | F | 81 <u>(1)</u> | D | \$ 0 | 3,591 | D |
| Common Stock | 01/08/2019 | M | 218 | A | \$ 0 | 3,809 | D |
| Common Stock | 01/08/2019 | F | 69 <u>(1)</u> | D | \$ 0 | 3,740 | D |
| Common Stock | 01/08/2019 | M | 87 | A | \$ 0 | 3,827 | D |
| Common Stock | 01/08/2019 | F | 28 <u>(1)</u> | D | \$ 0 | 3,799 | D |

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

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(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. Price of Derivative Security (Instr. 5) | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|----------------------------|------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |
| Restricted Stock Units | <u>(2)</u> | 01/08/2019 | | M | 750 | <u>(3)</u> | <u>(4)</u> | Common Stock | 750 | \$ 0 |
| Restricted | <u>(2)</u> | 01/08/2019 | | M | 555 | <u>(5)</u> | <u>(4)</u> | Common | 555 | \$ 0 |

| Stock Units | | | | | | | | Stock | | |
|------------------------|-----|------------|---|-----|-----|-----|--|--------------|-----|------|
| Restricted Stock Units | (2) | 01/08/2019 | M | 342 | (6) | (4) | | Common Stock | 342 | \$ 0 |
| Restricted Stock Units | (2) | 01/08/2019 | M | 57 | (7) | (4) | | Common Stock | 57 | \$ 0 |
| Restricted Stock Units | (2) | 01/08/2019 | M | 257 | (7) | (4) | | Common Stock | 257 | \$ 0 |
| Restricted Stock Units | (2) | 01/08/2019 | M | 218 | (8) | (4) | | Common Stock | 218 | \$ 0 |
| Restricted Stock Units | (2) | 01/08/2019 | M | 87 | (8) | (4) | | Common Stock | 87 | \$ 0 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|----------------|-------|
| | Director | 10% Owner | Officer | Other |
| Auerbach Robert D C/O THE COOPER COMPANIES, INC. 6140 STONERIDGE MALL ROAD, SUITE 590 PLEASANTON, CA 94588 | | | President, CSI | |

Signatures

/s/ Robert D. 01/09/2019
Auerbach, M.D.

__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) 1/8/2019 RSU Release: Shares withheld to cover applicable tax obligations. A FMV (closing price of the Company's common stock on 1/8/2019) of \$253.83 was used.
- (2) RSU Exercise Price: There is no exercise price associated with the grant of Restricted Stock Units.
- (3) Grant Date 12/11/13 RSU Vesting Date: The grant vests in equal portions on the following dates: 1/8/15, 1/8/16, 1/8/17, 1/8/18 and 1/8/19.
- (4) RSU Expiration Date: This award has no expiration date. Units will either vest or be forfeit.
- (5) 12/9/14 RSU Grant - Vesting Date: The grant vests in equal portions on the following dates: 1/8/16, 1/8/17, 1/8/18, 1/8/19 and 1/8/20.
- (6) 12/9/15 RSU Grant - Vesting Date: The grant vests in equal portions on the following dates: 1/8/17, 1/8/18, 1/8/19, 1/8/20 and 1/8/21.
- (7) 12/13/16 RSU Grant - Vesting Date: The grant vests in equal portions on the following dates: 1/8/18, 1/8/19, 1/8/20, 1/8/21 and 1/8/22.

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(8) 12/12/17 RSU Grant - Vesting Date: The grant vests in equal portions on the following dates: 1/8/19, 1/8/20, 1/8/21, 1/8/22 and 1/8/23.

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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