SEC Form 4

# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

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	ss of Reporting Person*		2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>BECTON DICKINSON &amp; CO</u> [BDX ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
(Last)			3. Date of Earliest Transaction (Month/Day/Year) 04/16/2019	x x	Director Officer (give title below) Chairman, CEO and	10% Owner Other (specify below) President			
1 BECTON DRI (Street) FRANKLIN LAKES	VE NJ	07417	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv X	idual or Joint/Group Filing (Ch Form filed by One Reportin Form filed by More than On	g Person			
(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)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	04/16/2019		G	v	7,764(1)	A	\$0	218,671	D	
Common Stock	06/24/2019		G	v	4,026	D	\$0	214,645	D	
Common Stock	08/23/2019		G	v	6,443 <sup>(2)</sup>	A	\$0	221,088	D	
Common Stock	09/06/2019		М		16,343	A	\$76.64	237,431	D	
Common Stock	09/06/2019		D		4,811	D	\$260.38(3)	232,620	D	
Common Stock	09/06/2019		s		11,532	D	\$260.38(3)	221,088	D	
Common Stock								10,474	Ι	By GRAT
Common Stock								10,645(4)	Ι	SIP Trust

#### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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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. Transac Code (Ir 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		te	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	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		Transaction(s) (Instr. 4)		
Stock Appreciation Rights	\$76.64	09/06/2019		М			16,343	11/23/2011 <sup>(5)</sup>	11/23/2020	Common Stock	16,343	\$0	16,343	D	

#### Explanation of Responses:

1. These shares were previously reported as held in a grantor retained annuity trust and were distributed to the reporting person on April 16, 2019.

2. These shares were previously reported as held in a grantor retained annuity trust and were distributed to the reporting person on August 23, 2019.

3. The reported sale price reflects the weighted average sale price for multiple transactions. The actual sales prices for the transactions ranged from \$260.00 through \$260.68. Full information regarding the number of shares purchased at each separate price will be provided to the Securities and Exchange Commission, the issuer or a security holder of the issuer upon request. This transaction was made pursuant to a 10b5-1 plan entered into on December 14, 2018.

4. Represents shares of common stock held under the Becton, Dickinson and Company Savings Incentive Plan (the "SIP"). The information presented for the SIP is as of July 1, 2019.

5. The stock appreciation rights vest in four annual installments beginning November 23, 2011.

### Remarks:

Richard Stout, by power of 09/10/2019 attorney for Vincent A. Forlenza \*\* 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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