SEC Form 3

FORM 3

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

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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

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1. Name and Add <u>Hickey Dav</u>		g Person <sup>*</sup>	2. Date of Event Requiring Statement (Month/Day/Year) 01/01/2021		3. Issuer Name and Ticker or Trading Symbol BECTON DICKINSON & CO [ BDX ]					
(Last)					4. Relationship of Reporting Person(s) to Issuer (Check all applicable)			5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person		
C/O BECTON, DICKINSON AND COMPANY 1 BECTON DRIVE					Director 10% Owner   X Officer (give title below) Other (specify below)   EVD & Provident L if a Science Science		<sup>fy</sup> Арр			
(Street) FRANKLIN NJ 07417 LAKES					EVP & President, Life Sciences			Form filed by More than One Reporting Person		
(City)	(State)	(Zip)								
			Table I - Noi	n-Deriva	ative Securities Beneficially	Owned	· · · · · · · · · · · · · · · · · · ·			
1. Title of Security (Instr. 4)					2. Amount of Securities Beneficially Owned (Instr. 4)		3. Ownership 4. Nature of Indirect Beneficial Ownership (Ins Form: Direct (D) or 5) ndirect (I) (Instr. 5)		Beneficial Ownership (Instr.	
Common Stock				4,354(1)						
					ve Securities Beneficially O rants, options, convertible s					
1. Title of Derivative Security (Instr. 4)			2. Date Exerc Expiration Da (Month/Day/Y	ate	d 3. Title and Amount of Securitie Derivative Security (Instr. 4)	es Underlying	4. Conversion or Exercise	cise (D) or Indirect (I) ve (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
			Date Exercisable	Expiration Date	on Title	Amount or Number of Shares	Price of Derivative Security			
Rights to Common Stock Under BD Deferred Compensation Plan			(2)	(2)	Common Stock	3,816	0	D		
Stock Appreciation Rights			11/26/2021 <sup>(3)</sup>	11/26/20	30 Common Stock	3,141	227.47	D		
Stock Appreciation Rights			11/26/2021 <sup>(4)</sup>	11/26/20	30 Common Stock	9,273	227.47	D		
Stock Appreciation Rights			11/26/2020 <sup>(5)</sup>	11/26/20	29 Common Stock	7,261	255.22	D		
Stock Appreciation Rights			11/26/2019 <sup>(6)</sup>	11/26/20	28 Common Stock	7,381	242.1	D		
Stock Appreciation Rights			11/26/2018 <sup>(7)</sup>	11/26/20	27 Common Stock	8,911	226.28	D		
Stock Appreciation Rights			11/26/2017 <sup>(8)</sup>	11/26/20	26 Common Stock	5,939	170.69	D		
Stock Appreciation Rights			11/26/2016 <sup>(9)</sup>	11/26/20	25 Common Stock	5,854	150.12	D		
Stock Appreciation Rights			11/25/2015 <sup>(10)</sup>	11/25/20	24 Common Stock	3,820	134.73	D		

## Explanation of Responses:

1. Includes restricted stock units awarded under the Becton, Dickinson and Company 2004 Employee and Director Equity-Based Compensation Plan.

2. The securities are distributed following termination of the reporting person's servicer, or on the date or dates specified by the reporting person.

3. The stock appreciation rights vest in three annual installments beginning November 26, 2021.

4. The stock appreciation rights vest in four annual installments beginning November 26, 2021.

5. The stock appreciation rights vest in four annual installments beginning November 26, 2020.

6. The stock appreciation rights vest in four annual installments beginning November 26, 2019.

7. The stock appreciation rights vest in four annual installments beginning November 26, 2018.

8. The stock appreciation rights vest in four annual installments beginning November 26, 2017.

9. The stock appreciation rights vest in four annual installments beginning November 26, 2016.

10. The stock appreciation rights vest in four annual installments beginning November 25, 2015.

Remarks:

Richard Stout, by power of attorney for David Hickey

\*\* Signature of Reporting Person

01/08/2021 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 5 (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.