#### Edgar Filing: ECKSTEIN BERNSTEIN H CAROL - Form 4

#### ECKSTEIN BERNSTEIN H CAROL

Form 4

February 01, 2018

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**OMB** Number:

3235-0287

Expires:

January 31, 2005

0.5

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**OMB APPROVAL** 

response...

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

Check this box

**SECURITIES** Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Last)

(City)

(Print or Type Responses)

1. Name and Address of Reporting Person \* ECKSTEIN BERNSTEIN H **CAROL** 

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

CABOT MICROELECTRONICS CORP [CCMP]

(Check all applicable)

VP, Sec & General Counsel

(First) (Middle) 3. Date of Earliest Transaction

(Zip)

(Month/Day/Year) 01/30/2018

Director 10% Owner X\_ Officer (give title Other (specify below)

C/O CABOT **MICROELECTRONICS** CORPORATION, 870 COMMONS **DRIVE** 

(Street)

(State)

4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

AURORA, IL 60504

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

|                                      |                                      |   |              |        |                  |  | , <b>-</b>                                     |   | , |
|--------------------------------------|--------------------------------------|---|--------------|--------|------------------|--|--|---|---|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date (Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) |              | sed of |                  | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following | 6. Ownership Form: Direct (D) or Indirect      | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |   |
|                                      |                                      |   | Code V       | Amount | (A)<br>or<br>(D) | Price  | Reported<br>Transaction(s)<br>(Instr. 3 and 4) | (I)<br>(Instr. 4)                                     |   |
| Common<br>Stock                      | 01/30/2018                           |   | M            | 4,075  | A                | \$ 44.1  | 57,487.43                                      | D   |   |
| Common<br>Stock                      | 01/30/2018                           |   | S(1)         | 4,075  | D                | \$<br>101.5108   | 53,412.43                                      | D   |   |
| Common<br>Stock                      | 01/30/2018                           |   | M            | 3,150  | A                | \$ 46.45   | 56,562.43                                      | D   |   |
| Common<br>Stock                      | 01/30/2018                           |   | S <u>(1)</u> | 3,150  | D                | \$<br>101.5108   | 53,412.43                                      | D   |   |

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| Common<br>Stock | 01/30/2018 | M    | 8,250 | A | \$ 42.37       | 61,662.43 | D |
|-----------------|------------|------|-------|---|----------------|-----------|---|
| Common<br>Stock | 01/30/2018 | S(1) | 8,250 | D | \$<br>101.5108 | 53,412.43 | D |
| Common<br>Stock | 01/30/2018 | M    | 3,950 | A | \$ 60.27       | 57,362.43 | D |
| Common<br>Stock | 01/30/2018 | S(1) | 3,950 | D | \$<br>101.5108 | 53,412.43 | D |

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

Persons who respond to the collection of SEC 1474 information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(9-02)

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) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transacti<br>Code<br>(Instr. 8) | Securities |       | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                    | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |  |
|---|---|--------------------------------------|---|---------------------------------------|------------|-------|--|--------------------|---|--|
|   |   |                                      |   | Code V                                | (A)        | (D)   | Date Exercisable   | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |
| Stock<br>Options<br>(Right to<br>Buy)               | \$ 44.1   | 01/30/2018                           |   | M                                     |            | 4,075 | 12/03/2014(2)  | 12/03/2023         | Common<br>Stock   | 4,075                                  |
| Stock<br>Options<br>(Right to<br>Buy)               | \$ 46.45  | 01/30/2018                           |   | M                                     |            | 3,150 | 12/03/2015(3)  | 12/03/2024         | Common<br>Stock   | 3,150                                  |
| Stock Options (Right to Buy)                        | \$ 42.37  | 01/30/2018                           |   | M                                     |            | 8,250 | 12/03/2016(4)  | 12/03/2025         | Common<br>Stock   | 8,250                                  |
| Stock<br>Options<br>(Right to<br>Buy)               | \$ 60.27  | 01/30/2018                           |   | M                                     |            | 3,950 | 12/05/2017(5)  | 12/05/2026         | Common<br>Stock   | 3,950                                  |

### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

ECKSTEIN BERNSTEIN H CAROL C/O CABOT MICROELECTRONICS CORPORATION 870 COMMONS DRIVE AURORA, IL 60504

VP, Sec & General Counsel

## **Signatures**

/s/ H. Carol Bernstein 01/31/2018

\*\*Signature of Date
Reporting Person

### **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) Sale to cover exercise price of, and taxes related to, cashless exercise of stock options.
- (2) 2013 (FY14) Non-Qualified Stock Option Grant Vesting Schedule: 25% 12/03/2014, 25% 12/03/2015, 25% 12/03/2016, 25% 12/03/2017.
- (3) 2014 (FY15) Non-Qualified Stock Option Grant Vesting Schedule: 25% 12/03/2015, 25% 12/03/2016, 25% 12/03/2017, 25% 12/03/2018.
- (4) 2015 (FY16) Non-Qualified Stock Option Grant Vesting Schedule: 25% 12/03/2016, 25% 12/03/2017, 25% 12/03/2018, 25% 12/03/2019.
- (5) 2016 (FY17) Non-Qualified Stock Option Grant Vesting Schedule: 25% 12/05/2017, 25% 12/05/2018, 25% 12/05/2019, 25% 12/05/2020.

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