SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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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

1. Name and Address of Reporting Person [*] Andrews Brian G	2. Date of Event Requiring Statement (Month/Day/Year) 05/01/2018		3. Issuer Name and Ticker or Trading Symbol <u>COOPER COMPANIES INC</u> [COO]				
(Last) (First) (Middle) 6140 STONERIDGE MALL ROAD, SUITE 590			4. Relationship of Reporting Pers (Check all applicable) Director X Officer (give title below) SVP, CFO & Tree	10% Owne Other (spe below)	r (Mo 01/ cify 6. Ir	nth/Day/Year) 02/2013 ndividual or Join	ate of Original Filed t/Group Filing (Check
(Street) PLEASANTON CA 94588 (City) (State) (Zip)			5 v r, Cr O & Th	easurer	_ · · ·		y One Reporting Person y More than One erson
	Table I - Noi	n-Derivat	ive Securities Beneficial	ly Owned			
1. Title of Security (Instr. 4)			. Amount of Securities Seneficially Owned (Instr. 4)	3. Ownersh	Ownership rm: Direct (D) Indirect (I)		
Common Stock			1,648	D			
Common Stock			283.25	I	Roth	Roth IRA	
Common Stock			220.976	I	Traditional IRA		
Common Stock			796.347	I	Roll	Rollover IRA	
(e			e Securities Beneficially nts, options, convertible		s)		
1. Title of Derivative Security (Instr. 4)	2. Date Exercisable an Expiration Date (Month/Day/Year)		Underlying Derivative Security (Instr. 4) Con or I		Conversion or Exercise	Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiratior Date	Title	Amount or Number of Shares	Price of Derivative Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	(1)	12/11/2023	Common Stock	2,396	119.89	D	
Employee Stock Option (Right to Buy)	(2)	12/09/2024	Common Stock	2,567	162.28	D	
Employee Stock Option (Right to Buy)	(3)	12/09/2025	Common Stock	3,356	131.6	D	
Employee Stock Option (Right to Buy)	(4)	12/13/2026	Common Stock	2,841	175.31	D	
Employee Stock Option (Right to Buy)	(5)	12/12/2027	Common Stock	2,159	229.66	D	
Employee Stock Option (Right to Buy)	(5)	12/12/2027	Common Stock	1,727	229.66	D	
Employee Stock Option (Right to Buy)	(6)	12/12/2027	Common Stock	1,779	229.66	D	
Restricted Stock Units							
	(7)	(8)	Common Stock	166	0 ⁽⁹⁾	D	
Restricted Stock Units	(7) (10)	(8)	Common Stock Common Stock	166 308	0 ⁽⁹⁾	D D	
Restricted Stock Units Restricted Stock Units	_				-		
	(10)	(8)	Common Stock	308	0 ⁽⁹⁾	D	
Restricted Stock Units	(10)	(8)	Common Stock Common Stock	308 570	0 ⁽⁹⁾	D	

1. 12/11/13 NQ Grant: The options will vest in equal increments over five years measured from the date of grant as follows: 1/5 shall vest on 12/11/14; 1/5 shall vest on 12/11/15; 1/5 shall vest on 12/11/16; 1/5 shall vest on 12/11/17; and 1/5 shall vest on 12/11/18.

2. 12/9/14 NQ Grant: The options will vest in equal increments over five years measured from the date of grant as follows: 1/5 shall vest on 12/9/15; 1/5 shall vest on 12/9/16; 1/5 shall vest on 12/9/17; 1/5 shall vest on 12/9/17; 1/5 shall vest on 12/9/17; 1/5 shall vest on 12/9/19; 1/5 sh

3. 12/9/15 NQ Grant: The options will vest in equal increments over five years measured from the date of grant as follows: 1/5 shall vest on 12/9/16; 1/5 shall vest on 12/9/17; 1/5 shall vest on 12/9/18; 1/5 shall vest on 12/9/19 and 1/5 shall vest on 12/9/20.

4. 12/13/16 NQ Grant: The options will vest in equal increments over five years measured from the date of grant as follows: 1/5 shall vest on 12/13/17; 1/5 shall vest on 12/13/18; 1/5 shall vest on 12/13/19; 1/5 shall vest on 12/13/20 and 1/5 shall vest on 12/13/21.

5. 12/12/17 NQ Grant: The options will vest in equal increments on the first through the fifth anniversaries of the date of grant.

6. 12/12/17 Exec Grant-3 yr cliff: The grant will vest 100% on 2/1/2021.

7. 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.

8. RSU Expiration Date: This award has no expiration date. Units will either vest or be forfeit.

9. RSU Exercise Price: There is no exercise price associated with the grant of Restricted Stock Units.

10. 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.

11. 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.

- 12. 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.
- 13. 2/1/2017 RSU Grant Vest Date: The grant vests 100% on February 1, 2020.

14. 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.

/s/ Brian G. Andrews

<u>05/03/2018</u> Date

** Signature of Reporting Person

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.