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

(Last) (First) (Middle)		3. Issuer Name and Ticker or Trading Symbol <u>COOPER COMPANIES INC</u> [COO]				
C/O THE COOPER COMPANIES, INC. 6140 STONERIDGE MALL ROAD, SUITE 590 (Street) PLEASANTON CA 94588		4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner X Officer (give title Other (specify below) President, CSI		r cify 6. Ap	 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 Form filed by More than One Reporting Person 	
(City) (State) (Zip)						
Table I - Non-	Derivati	ve Securities Beneficially	y Owned			
1. Title of Security (Instr. 4)		Amount of Securities eneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)		ure of Indirect Beneficial Ownership 5)	
Common Stock		2,272	D			
		Securities Beneficially (nts, options, convertible		5)		
1. Title of Derivative Security (Instr. 4) Expiration Date (Month/Day/Yea	е	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversio or Exercis	Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security	Direct (D) or Indirect (I) (Instr. 5)	
Restricted Stock Units (1)	(2)	Common Stock	592	(3)	D	
Employee Stock Option (Right to Buy) (4)	12/12/2027	Common Stock	4,318	229.66	D	
Employee Stock Option (Right to Buy) (5)	12/13/2026	Common Stock	5,113	175.31	D	
Employee Stock Option (Right to Buy) (6)	12/09/2025	Common Stock	4,832	131.6	D	
Restricted Stock Units (7)	(2)	Common Stock	666	(3)	D	
Employee Stock Option (Right to Buy) (8) (8)	06/01/2028	Common Stock	1,739	228.11	D	
Restricted Stock Units ⁽⁹⁾	(2)	Common Stock	750	(3)	D	
Restricted Stock Units (10)	(2)	Common Stock	1,089	(3)	D	
Restricted Stock Units (11)	(2)	Common Stock	1,026	(3)	D	
Restricted Stock Units (12)	(2)	Common Stock	1,109	(3)	D	
Restricted Stock Units (13)	(2)	Common Stock	1,026	(3)	D	
Restricted Stock Units (10)	(2)	Common Stock	435	(3)	D	
Restricted Stock Units (11)	(2)	Common Stock	228	(3)	D	

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

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

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

4. 12/12/17 NQ Grant: The options will vest in equal increments on the first through the fifth anniversaries of the date of grant.

5. 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.

6. 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.

7. 2/1/2017 RSU Grant - Vest Date: The grant vests 100% on February 1, 2020.

8. 6/1/18 NQ Grant (mod anni vest): The options will vest in equal increments over five years measured from the date of grant as follows: 1/3 shall vest on 6/1/2021; 1/3 shall vest on 6/1/2022 and 1/3 shall vest on 6/1/2023.

9. 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.

10. 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.

11. 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.

12. 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.

13. 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.

/s/ Robert D. Auerbach, M.D. 07/17/2018

** Signature of Reporting Person Date

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

 \ast 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.