

# HARVARD BIOSCIENCE INC

Reported by  
**UVEGES GEORGE**

## FORM 4

(Statement of Changes in Beneficial Ownership)

Filed 09/11/17 for the Period Ending 09/07/17

Address	84 OCTOBER HILL RD HOLLISTON, MA, 01746
Telephone	5088938999
CIK	0001123494
Symbol	HBIO
SIC Code	3826 - Laboratory Analytical Instruments
Industry	Advanced Medical Equipment & Technology
Sector	Healthcare
Fiscal Year	12/31

# FORM 4

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

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continue. See Instruction 1(b).

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

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 *			2. Issuer Name and Ticker or Trading Symbol			5. Relationship of Reporting Person(s) to Issuer (Check all applicable)		
UVEGES GEORGE			HARVARD BIOSCIENCE INC [ HBIO			<input checked="" type="checkbox"/> Director _____ 10% Owner _____ Officer (give title below) _____ Other (specify below)		
(Last) (First) (Middle)			3. Date of Earliest Transaction (MM/DD/YYYY)					
207 WILLOW BROOK DRIVE			9/7/2017					
(Street)			4. If Amendment, Date Original Filed (MM/DD/YYYY)			6. Individual or Joint/Group Filing (Check Applicable Line)		
WAYLAND, MA 01778-5124						<input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person		
(City) (State) (Zip)								

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

1. Title of Security (Instr. 3)	2. Trans. Date	2A. Deemed Execution Date, if any	3. Trans. Code (Instr. 8)		4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Common Stock	9/7/2017		M		23720	A	\$2.28	188440 (1)	D	
Common Stock	9/7/2017		F		16640 (2)	D	\$3.25	171800 (3)	D	
Common Stock	9/7/2017		M		22545	A	\$2.59	194345 (4)	D	
Common Stock	9/7/2017		F		17967 (2)	D	\$3.25	176378 (5)	D	
Common Stock	9/7/2017		M		21213	A	\$2.56	197591 (6)	D	
Common Stock	9/7/2017		F		16709 (2)	D	\$3.25	180882 (7)	D	

**Table II - Derivative Securities Beneficially Owned ( e.g. , puts, calls, warrants, options, convertible securities)**

1. Title of Derivate Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans. Date	3A. Deemed Execution Date, if any	4. Trans. Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date		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 Transaction(s) (Instr. 4)	10. Ownership Form of Derivative Security: 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				
Stock option (right to buy)	\$2.28	9/7/2017		M		23720 (8)		5/21/2013	5/21/2019	Common Stock, par value \$0.01 per share	23720	\$0.00	0	D	
Stock option (right to buy)	\$2.59	9/7/2017		M		22545 (8)		6/4/2014	6/4/2020	Common Stock, par value \$0.01 per share	22545	\$0.00	0	D	
Stock option (right to buy)	\$2.56	9/7/2017		M		21213 (8)		6/1/2016	6/1/2022	Common Stock, par value \$0.01 per share	21213	\$0.00	0	D	

### Explanation of Responses:

- Includes (a) a deferred stock award of 31,300 restricted stock units which fully vest on the earlier of (i) the date of the Issuer's next Annual Meeting of Stockholders after May 18, 2017, immediately prior to the commencement of such meeting, and (ii) May 18, 2018; (b) a deferred stock award of 11,150 restricted stock units which vest quarterly in equal installments on September 30, 2017 and December 31, 2017; and (c) 145,990 shares of common stock held by the Reporting Person.
- Represents the number of shares of common stock that the Reporting Person attested to the ownership thereof in accordance with the Issuer's Third Amended and Restated 2000 Stock Option and Incentive Plan, as amended, in connection with the payment of the option exercise price. With respect to each option exercise, the Issuer only delivered the net amount of the option shares (after reducing the option shares by the amount of shares subject to such attestation) to the Reporting Person and such attestation shares were not sold by the Reporting Person or delivered to the Issuer. Nevertheless, the SEC deems such exercise and related attestation to be a disposition of shares for purposes of Section 16(a) of the Securities Exchange Act of 1934.
- Includes (a) a deferred stock award of 31,300 restricted stock units which fully vest on the earlier of (i) the date of the Issuer's next Annual Meeting of Stockholders after May 18, 2017, immediately prior to the commencement of such meeting, and (ii) May 18, 2018; (b) a deferred stock award of 11,150 restricted stock units which vest quarterly in equal installments on September 30, 2017 and December 31, 2017; and (c) 129,350 shares of common stock

held by the Reporting Person.

- (4) Includes (a) a deferred stock award of 31,300 restricted stock units which fully vest on the earlier of (i) the date of the Issuer's next Annual Meeting of Stockholders after May 18, 2017, immediately prior to the commencement of such meeting, and (ii) May 18, 2018; (b) a deferred stock award of 11,150 restricted stock units which vest quarterly in equal installments on September 30, 2017 and December 31, 2017; and (c) 151,895 shares of common stock held by the Reporting Person.
- (5) Includes (a) a deferred stock award of 31,300 restricted stock units which fully vest on the earlier of (i) the date of the Issuer's next Annual Meeting of Stockholders after May 18, 2017, immediately prior to the commencement of such meeting, and (ii) May 18, 2018; (b) a deferred stock award of 11,150 restricted stock units which vest quarterly in equal installments on September 30, 2017 and December 31, 2017; and (c) 133,928 shares of common stock held by the Reporting Person.
- (6) Includes (a) a deferred stock award of 31,300 restricted stock units which fully vest on the earlier of (i) the date of the Issuer's next Annual Meeting of Stockholders after May 18, 2017, immediately prior to the commencement of such meeting, and (ii) May 18, 2018; (b) a deferred stock award of 11,150 restricted stock units which vest quarterly in equal installments on September 30, 2017 and December 31, 2017; and (c) 155,141 shares of common stock held by the Reporting Person.
- (7) Includes (a) a deferred stock award of 31,300 restricted stock units which fully vest on the earlier of (i) the date of the Issuer's next Annual Meeting of Stockholders after May 18, 2017, immediately prior to the commencement of such meeting, and (ii) May 18, 2018; (b) a deferred stock award of 11,150 restricted stock units which vest quarterly in equal installments on September 30, 2017 and December 31, 2017; and (c) 138,432 shares of common stock held by the Reporting Person.
- (8) Represent the exercise of stock options granted pursuant to the Issuer's 2000 Stock Option and Incentive Plan, as amended.

**Remarks:**

This form is signed under power of attorney.

**Reporting Owners**

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
UVEGES GEORGE 207 WILLOW BROOK DRIVE WAYLAND, MA 01778-5124	X			

**Signatures**

/s/ Chad Porter, by power of attorney

9/11/2017

\*\*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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