

BECTON DICKINSON & CO  
Form 3  
October 07, 2016

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

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**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,  
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
30(h) of the Investment Company Act of 1940

(Print or Type Responses)

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| <p>1. Name and Address of Reporting Person *</p> <p><b>Â Mas Ribo Alberto</b></p> <p>(Last) (First) (Middle)</p> <p>C/O BECTON, DICKINSON AND COMPANY, Â 1 BECTON DRIVE</p> <p>(Street)</p> <p>FRANKLIN LAKES, Â NJ Â 07417</p> <p>(City) (State) (Zip)</p> | <p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>10/01/2016</p> | <p>3. Issuer Name <b>and</b> Ticker or Trading Symbol</p> <p><b>BECTON DICKINSON &amp; CO [BDX]</b></p> | <p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input type="checkbox"/> 10% Owner<br/><input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other<br/>(give title below) (specify below)<br/>EVP and Pres, Life Sciences</p> | <p>5. If Amendment, Date Original Filed(Month/Day/Year)</p> | <p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person<br/><input type="checkbox"/> Form filed by More than One Reporting Person</p> |
|---|---|---|---|---|---|

**Table I - Non-Derivative Securities Beneficially Owned**

| 1. Title of Security<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|------------------------------------|--|---|--|
| Common Stock                       | 15,778 <sup>(1)</sup>                                    | D   | Â  |
| Common Stock                       | 2,013  | I   | GSIP Trust <sup>(2)</sup>                                |
| Common Stock                       | 1,043  | I   | SIP Trust <sup>(3)</sup>                                 |

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

SEC 1473 (7-02)

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

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| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and<br>Expiration Date<br><small>(Month/Day/Year)</small> |                    | 3. Title and Amount of<br>Securities Underlying<br>Derivative Security<br>(Instr. 4) |                                  | 4.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 5.<br>Ownership<br>Form of<br>Derivative<br>Security:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) | 6. Nature of<br>Indirect Beneficial<br>Ownership<br>(Instr. 5) |
|---|---|--------------------|--|----------------------------------|---|---|--|
|   | Date Exercisable  | Expiration<br>Date | Title  | Amount or<br>Number of<br>Shares |   |   |  |
| Stock Appreciation Rights                     | 11/20/2013 <sup>(4)</sup>   | 11/20/2022         | Common Stock   | 12,003                           | \$ 76.18  | D   | Â  |
| Stock Appreciation Rights                     | 11/26/2014 <sup>(5)</sup>   | 11/26/2023         | Common Stock   | 8,347                            | \$ 108.89   | D   | Â  |
| Stock Appreciation Rights                     | 11/25/2015 <sup>(6)</sup>   | 11/25/2024         | Common Stock   | 12,153                           | \$ 134.73   | D   | Â  |
| Stock Appreciation Rights                     | 11/26/2016 <sup>(7)</sup>   | 11/26/2025         | Common Stock   | 14,312                           | \$ 150.12   | D   | Â  |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |         |                               |
|---|---------------|-----------|---------|-------------------------------|
|   | Director      | 10% Owner | Officer | Other                         |
| Mas Ribo Alberto<br>C/O BECTON, DICKINSON AND COMPANY<br>1 BECTON DRIVE<br>FRANKLIN LAKES, NJ 07417 | Â             | Â         | Â       | EVP and Pres, Life Sciences Â |

## Signatures

Richard Stout, by power of attorney for Alberto Mas Ribo. 10/07/2016

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

- \* 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).
- (1) Includes restricted stock units awarded under the Becton, Dickinson and Company 2004 Employee and Director Equity-Based Compensation Plan.
- (2) Represents shares of common stock held under the Becton, Dickinson and Company Global Share Investment Program (the "GSIP"). The information presented for the GSIP is as of September 30, 2016.
- (3) Represents shares of common stock held under the Becton, Dickinson and Company Savings Incentive Plan (the "SIP"). The information presented for the SIP is as of September 30, 2016.
- (4) The stock appreciation rights vest in four annual installments beginning November 20, 2013.
- (5) The stock appreciation rights vest in four annual installments beginning November 26, 2014.
- (6) The stock appreciation rights vest in four annual installments beginning November 25, 2015.
- (7) The stock appreciation rights vest in four annual installments beginning November 26, 2016.

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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