

LOWE ALAN S
Form 4/A
August 24, 2018

FORM 4

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

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may 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,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
LOWE ALAN S

(Last) (First) (Middle)

400 NORTH MCCARTHY BLVD

(Street)

MILPITAS, CA 95035

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

Lumentum Holdings Inc. [LITE]

3. Date of Earliest Transaction
(Month/Day/Year)

08/17/2017

4. If Amendment, Date Original
Filed(Month/Day/Year)
08/21/2017

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)

CEO and President

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction 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)
Common Stock	08/17/2017		S	7,916 D	\$ 52.6205	141,162	D
Common Stock	08/18/2017		F	23,384 D	\$ 52.0627	117,778	D
Common Stock	08/17/2017		M	9,232 (1) A	\$ 0	127,010	D
Common Stock	08/18/2017		F	4,817 D	\$ 51.35	122,193	D
Common Stock	08/18/2017		A	64,432 (2) A	\$ 0	186,625	D

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Common Stock	08/18/2017	A	32,216 (2)	A	\$ 0	218,841	D
Common Stock	08/20/2017	M	2,286	A	\$ 0	221,127	D
Common Stock	08/21/2017	F	1,215	D	\$ 51.1003	219,912 (3)	D

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

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(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction 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 (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Performance Stock Units <u>(1)</u>	\$ 0	08/17/2017		M		9,232		08/17/2017	<u>(4)</u>	Common Stock	9,232
Restricted Stock Units	\$ 0	08/20/2017		M		2,286		08/17/2017	<u>(5)</u>	Common Stock	2,286

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
LOWE ALAN S 400 NORTH MCCARTHY BLVD MILPITAS, CA 95035	X CEO and President

Signatures

/s/ Judy G Hamel as
Attorney-in-Fact 08/24/2018

**Signature of Reporting Person

Date

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) Performance shares that vested upon achievement of established target goals.
- (2) New RSU grant award vests 33% on 1st anniversary of grant date then 8 quarterly equal installments over following 2 years.
- (3) On 9/16/2016 4/A filed to report the grant award on (Table I) the vested shares released on 8/17/2017 were also reported on table I in error; filing to show decrease of shares that had previously been reported in Table 1.
- (4) Performance Stock Units have no expiration date.
- (5) Restricted Stock Units have no expiration date

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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