#### Edgar Filing: Lumentum Holdings Inc. - Form 4

Lumentum Holdings Inc. Form 4 December 09, 2016

#### **OMB APPROVAL** FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average

# **SECURITIES**

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

(Print or Type Responses)

Section 16.

Form 4 or

Form 5

1(b).

1. Name and Address of Reporting Person <u>*</u> KAPLAN MARTIN A			2. Issuer Name <b>a</b> Symbol	nd Ticker or Trading	5. Relationship of Reporting Person(s) to Issuer			
				dings Inc. [LITE]	(Che	eck all applicable	e)	
(Last)	(First)	. ,	3. Date of Earliest		V Director	100	1 Owner	
C/O LUMENTUM, 400 NORTH MCCARTHY BLVD			(Month/Day/Year) 12/08/2016		X Director Officer (giv below)	ve title Oth below)	% Owner her (specify	
(Street)			4. If Amendment, I	Date Original	6. Individual or Joint/Group Filing(Check			
MILPITAS,	CA 95035		Filed(Month/Day/Ye	ear)	Applicable Line) _X_ Form filed by Form filed by Person	1 0		
(City)	(State)	(Zip)	Table I - Non	-Derivative Securities Ac	quired, Disposed o	of, or Beneficia	lly Owned	
1.Title of	2. Transaction	n Date 2A. Deen	ned 3.	4. Securities	5. Amount of	6. Ownership	7. Nature of	

2. Transaction Date	2A. Deemed	3.	4. Securi	ties		5. Amount of	6. Ownership	7. Nature of
(Month/Day/Year)	Execution Date, if	TransactionAcquired (A) or			r	Securities	Form: Direct	Indirect
any		Code Disposed of (D)		Beneficially	(D) or	Beneficial		
	(Month/Day/Year)	(Instr. 8)	(Instr. 3, 4 and 5)		5)	Owned	Indirect (I)	Ownership
						Following	(Instr. 4)	(Instr. 4)
				( )		Reported		
						Transaction(s)		
		Code V	Amount	Or (D)	Price	(Instr. 3 and 4)		
12/08/2016		M <u>(1)</u>	2,055	А	\$0	28,430	D	
	(Month/Day/Year)	any (Month/Day/Year)	(Month/Day/Year) Execution Date, if Transaction any Code (Month/Day/Year) (Instr. 8) Code V	(Month/Day/Year) Execution Date, if any Code Disposed (Month/Day/Year) (Instr. 8) (Instr. 3, Code V Amount	(Month/Day/Year)Execution Date, if any (Month/Day/Year)TransactionAcquired (A) or Code(Month/Day/Year)CodeDisposed of (D) (Instr. 8)(A) or Code(A) or	(Month/Day/Year)Execution Date, if any (Month/Day/Year)TransactionAcquired (A) or CodeOr 	(Month/Day/Year)Execution Date, if any (Month/Day/Year)TransactionAcquired (A) or CodeSecurities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	(Month/Day/Year)Execution Date, if any (Month/Day/Year)TransactionAcquired (A) or CodeSecurities Beneficially Owned Form: Direct Beneficially (D) or Indirect (I) Following (Instr. 4)Form: Direct (D) or Indirect (I) Following (Instr. 4)(Month/Day/Year)(Instr. 8)(Instr. 3, 4 and 5)Securities Beneficially Owned Transaction(s) (Instr. 3 and 4)Form: Direct (D) or Indirect (I) Following (Instr. 4)

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

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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. Transactio Code (Instr. 8)	5. Number on f Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	ative Expiration Date es (Month/Day/Year) d d of		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. H Dei Sec (Ins
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock Units	\$ 0	12/08/2016		М	2,055	12/08/2016	(2)	Common Stock	2,055	

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## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
KAPLAN MARTIN A C/O LUMENTUM 400 NORTH MCCARTHY BLVD MILPITAS, CA 95035	Х					
Signatures						
/s/ Judy G Hamel as Attorney-in-Fact	12/	09/2016				

\*\*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) Each unit converts upon vesting into one share of common stock.
- (2) 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. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.