Edgar Filing: COVERT HAROLD L - Form 4

| COVERT HA | ROLD L | | | | | | | | | |
|---|---|--|--|--|--|---------|--|--|--------------|--|
| Form 4 | | | | | | | | | | |
| December 11, | 2017 | | | | | | | | | |
| FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 | | | | | | | PPROVAL 3235-0287 | | | |
| Check this if no longe subject to Section 16 Form 4 or Form 5 obligations may contin <i>See</i> Instruct 1(b). | his box ager to STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF 16. or 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 20(b) of the Investment Company Act of 1940 | | | | | | | irs per | | |
| (Print or Type Re | esponses) | | | | | | | | | |
| 1. Name and Ad COVERT HA | er Name and | | | | 5. Relationship of Reporting Person(s) to Issuer | | | | | |
| | | | Lumentum Holdings Inc. [LITE] | | | | (Check all applicable) | | | |
| | | | e of Earliest Transaction h/Day/Year) 5/2017 | | | | _X_Director10% Owner0ther (specify below) Other (specify below) | | | |
| | (Street) 4. If Amer Filed(Mon | | | te Original | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person | | | |
| MILPITAS, | CA 95035 | | | | | | Form filed by M Person | | | |
| (City) | (State) (Z | Zip) Ta | ble I - Non-D | erivative S | Securi | ties Ac | quired, Disposed o | f, or Beneficial | lly Owned | |
| 1.Title of Security (Instr. 3) | | Transaction Date 2A. Deemed ionth/Day/Year) Execution Date, if any (Month/Day/Year) | | 3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5) (A) or Code V Amount (D) Price | | | 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 | |
| Common Stock | 12/08/2017 | | М | 2,055 | А | \$0 | 24,282 | D | | |

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

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 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. Transacti Code (Instr. 8) | 5. Number on f 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) | | 8. Pr Deri Secu (Inst |
|---|---|---|---|---------------------------------------|---|--|--------------------|---|--|--------------------------------|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |
| Common Stock | \$ 0 | 12/08/2017 | | М | 2,055 | 12/08/2017 | (1) | Common Stock | 2,055 | |

Reporting Owners

| Reporting Owner Name / Address | | Relationsh | | | | | |
|--|----------|------------|---------|-------|--|--|--|
| | Director | 10% Owner | Officer | Other | | | |
| COVERT HAROLD L C/O LUMENTUM 400 NORTH MCCARTHY BLVD MILPITAS, CA 95035 | Х | | | | | | |
| Signatures | | | | | | | |
| Judy G Hamel as Attorney-in-Fact | 12/11 | 12/11/2017 | | | | | |
| <u>**</u> Signature of Reporting Person | Da | ite | | | | | |
| Explanation of Poononcool | | | | | | | |

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) 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.