## SEC Form 4

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# 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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

# OMB APPROVAL OMB Number: 3235-0287 Estimated average burden

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nouis per response.	0.0

1. Name and Address of Reporting Person <sup>*</sup> Novak Alfred J			2. Issuer Name <b>and</b> Ticker or Trading Symbol	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
			t	X	Director	10% Owner		
(Last) (First) (Middle) 5 MERCHANT SQUARE		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 06/15/2016		Officer (give title below)	Other (specify below)		
NOIRTH WHARF ROAD			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	lividual or Joint/Group Filing (Check Applicable			
(Street)				X	Form filed by One Re	porting Person		
LONDON	X0	W2 1AY			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. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Transaction Code (Instr.		4. Securities A Disposed Of (			Securities Beneficially	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
				v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		
Common Stock	06/15/2016		М		1,209(1)	Α	\$48.485	14,229	D	
Common Stock	06/15/2016		D		1,209(2)	D	\$48.485	13,020	D	

 

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

1. Titl Deriv Secu (Instr	ative Conversion rity or Exercise		3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code ( 8)		of		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5) Y	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: 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				
Restri Stock Units	(3)	06/15/2016		М			1,209	(3)	(3)	Common Stock	1,209	(1)	0	D	

#### Explanation of Responses:

1. Restricted stock units ("RSUs") vested on June 15, 2016. The referenced RSUs are being settled in cash based on the closing price of the ordinary shares of LivaNova PLC (the "Company") on June 14, 2016. The Company is settling the RSUs in cash because it does not currently have ordinary shares available to settle the RSUs pursuant to their terms.

2. Shares disposed of to the Company to cover applicable taxes and to cash cover the remainder shares.

3. On October 19, 2015, reporting person was granted 1,209 RSUs which vest on the date of the next Annual General Meeting of the Company. Each RSU represents a contingent right to receive one ordinary share of the Company in accordance with the terms of the LivaNova PLC 2015 Incentive Award Plan. All of such RSUs vested and all restrictions thereon lapsed on June 15, 2016.

<u>/s/ Alfred J. Novak</u>

\*\* Signature of Reporting Person Date

06/16/2016

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.

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 Number.