# SEC Form 4

# 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

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1. Name and Addre <u>McDonald D</u>	ss of Reporting Perso amien	n*	2. Issuer Name <b>and</b> Ticker or Trading Symbol LivaNova PLC [ LIVN ]		tionship of Reporting Perso all applicable) Director	10% Owner		
(Last) 20 EASTBOUR	(First) NE TERRACE	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 11/01/2019	X	Officer (give title below) CEO	Other (specify below)		
(Street) LONDON X0 W2 6LG (City) (State) (Zip)			4. If Amendment, Date of Original Filed (Month/Day/Year)	<ul> <li>6. Individual or Joint/Group Filing (Check Applicable Line)</li> <li>X Form filed by One Reporting Person</li> <li>Form filed by More than One Reporting Person</li> </ul>				

### 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)	3.4. Securities AcquireTransaction Code (Instr. 8)Disposed Of (D) (Instruction				5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1130.4)
Ordinary Shares	11/01/2019		S <sup>(1)</sup>		1,000	D	\$74.4	58,774	D	
Ordinary Shares	11/04/2019		М		16,745	Α	\$0 <sup>(2)</sup>	75,519	D	
Ordinary Shares	11/04/2019		F		8,503 <sup>(3)</sup>	D	\$71.05	67,016	D	

### 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. 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)	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				
Restricted Stock Units	(4)	11/04/2019		М			16,745	(5)	(5)	Ordinary Shares	16,745	\$0	131,054	D	

#### **Explanation of Responses:**

1. Shares sold pursuant to a Rule 10b5-1 Plan adopted by reporting person on May 6, 2019.

2. Reporting person had vested restricted stock units (RSUs) settled in ordinary shares (Ordinary Shares) of LivaNova PLC (the Company), GBP 1.00 par value.

3. The referenced shares were withheld from distribution at the request of reporting person to satisfy tax liability.

4. Each RSU represents a contingent right to receive one Ordinary Share of the Company, GBP 1.00 par value, in accordance with the terms of the LivaNova PLC 2015 Incentive Award Plan (the Plan) and the award agreement.

5. Reporting person was granted RSUs subject to a four-year vesting schedule, vesting 25% on each of the first four anniversaries of November 4, 2016, subject to continued service during the vesting period and the RSU Agreement.

#### Remarks:

/s/ Sarah K. Mohr, POA

\*\* Signature of Reporting Person

11/05/2019

Date

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.