## 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 30(h) of t

# OMB APPROVAL

| (0.9)                            |                                     |          | erivative Securities Acquired, Disposed of, or Be                              |                   | Overse ed   |                                 |  |
|----------------------------------|-------------------------------------|----------|--|-------------------|---|---------------------------------|--|
| (City)                           | (State)                             | (Zip)    |  |                   | Form filed by More the<br>Person                        | an One Reporting                |  |
| ABBOTT PARK IL 60064             |                                     | 60064    |  | X                 | Form filed by One Re                                    | porting Person                  |  |
| 100 ABBOTT PARK ROAD<br>(Street) |                                     |          | 4. If Amendment, Date of Original Filed (Month/Day/Year)                       | 6. Indiv<br>Line) | dividual or Joint/Group Filing (Check Applicable<br>)   |                                 |  |
|                                  |                                     |          | 02/21/2020   |                   | Senior Vice President                                   |                                 |  |
| (Last)                           | (First)                             | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year)                               | X                 | Officer (give title below)                              | Other (specify below)           |  |
|                                  | ddress of Reporting F<br>SEN CHARLE |          | 2. Issuer Name and Ticker or Trading Symbol <u>ABBOTT LABORATORIES</u> [ ABT ] |                   | tionship of Reporting Pe<br>all applicable)<br>Director | erson(s) to Issuer<br>10% Owner |  |

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

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | Code (Instr. |        | Disposed Of (D) (Instr. 3, 4 and |       |                                    | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------|--|---|--------------|--------|----------------------------------|-------|------------------------------------|---|---|---|
|                                 |  | Code V Ar   |              | Amount | (A) or<br>(D)                    | Price | Transaction(s)<br>(Instr. 3 and 4) |   | (   |   |
| Common shares without par value | 02/21/2020                                 |   | Α            |        | 12,500 <sup>(1)</sup>            | Α     | \$ <mark>0</mark>                  | 51,961  | D   |   |

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   |        |     | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount<br>of Securities<br>Underlying<br>Derivative Security<br>(Instr. 3 and 4) |  | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---|---|--|---|------------------------------|---|--------|-----|--|--------------------|---|--|---|--|--|--|
|   |   |  |   | Code                         | v | (A)    | (D) | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |   |  |  |  |
| Option<br>(right to<br>buy) <sup>(2)</sup>          | \$87.72   | 02/21/2020                                 |   | A                            |   | 76,198 |     | 02/21/2021   | 02/20/2030         | Common<br>shares  | 76,198                                 | \$0   | 76,198   | D  |  |

#### Explanation of Responses:

1. These shares represent a performance-based restricted stock award under the Abbott Laboratories 2017 Incentive Stock Program. The award has a 3-year term, with no more than 1/3 of the award vesting in any one year upon Abbott reaching a minimum return on equity target. The award includes the right to have shares withheld for tax purposes.

2. Employee stock option granted pursuant to the Abbott Laboratories 2017 Incentive Stock Program in a transaction exempt from Section 16 under Rule 16b-3. The option becomes exercisable in annual increments of 25,399 on February 21, 2021, 25,399 on February 21, 2022, and 25,400 on February 21, 2023.

> Jessica H. Paik, as power of attorney for Charles Brynelsen

02/25/2020

\*\* Signature of Reporting Person 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.

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