

MAZZO JAMES V
Form 4
February 27, 2009

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 OF
SECURITIES**

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
30(h) of the Investment Company Act of 1940

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
MAZZO JAMES V

2. Issuer Name **and** Ticker or Trading
Symbol

ABBOTT MEDICAL OPTICS INC
[EYE]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction
(Month/Day/Year)

02/25/2009

☒ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)

Chairman and CEO

C/O ABBOTT MEDICAL OPTICS
INC., 1700 E. ST. ANDREW
PLACE

(Street)

4. If Amendment, Date Original
Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check
Applicable Line)

☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

SANTA ANA, CA 92705

(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)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	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 Ownership Indirect Beneficial Ownership (Instr. 4)
Common Stock	02/25/2009		U	Amount 6,566.2065 (1)	(A) or (D) D \$ 22	14,923.9 (2)	D
Common Stock	02/25/2009		D	2,123.9 (3)	D \$ 22	12,800	D
Common Stock	02/25/2009		F	4,795 (4)	\$ 22.01	8,005	D
Common Stock	02/26/2009		D	8,005 (3)	D \$ 22	0	D
	02/25/2009		A	25,800 (5)	A \$ 0	25,800	D

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Common Stock								
Common Stock	02/25/2009	F	11,804 ⁽⁴⁾	D	\$ 22.01	13,996	D	
Common Stock	02/26/2009	D	13,996 ⁽⁵⁾	D	\$ 22	0	D	
Common Stock	02/25/2009	A	15,800 ⁽⁵⁾	A	\$ 0	15,800	D	
Common Stock	02/25/2009	F	7,229 ⁽⁴⁾	D	\$ 22.01	8,571	D	
Common Stock	02/26/2009	D	8,571 ⁽⁵⁾	D	\$ 22	0	D	
Common Stock	02/25/2009	A	30,000 ⁽⁵⁾	A	\$ 0	30,000	D	
Common Stock	02/25/2009	F	13,725 ⁽⁴⁾	D	\$ 22.01	16,275	D	
Common Stock	02/26/2009	D	16,275 ⁽⁵⁾	D	\$ 22	0	D	
Common Stock	02/25/2009	U	112,750 ⁽¹⁾	D	\$ 22	0	I	Shares had been held by family trust
Common Stock	02/26/2009	U	1,488.2865 ⁽¹⁾	D	\$ 22	0	I	Shares had been held by 401(k) Trust
Common Stock	02/26/2009	D	16 ⁽³⁾	D	\$ 22	0	I	shares had been held by a child of reporting person

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.

SEC 1474
(9-02)

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. Transaction Code (Instr. 8)	5. Number of 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 Underlying Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount Number Shares
Employee Stock Option (Right to Buy)	\$ 8.99	02/26/2009		D ⁽⁶⁾	240,000	07/29/2006 07/29/2012		Common Stock	240,000
Employee Stock Option (Right to Buy)	\$ 13.85	02/26/2009		D ⁽⁷⁾	120,000	04/29/2007 04/29/2013		Common Stock	120,000
Employee Stock Option (Right to Buy)	\$ 33.72	02/26/2009		D ⁽⁸⁾	200,000	05/20/2008 05/20/2014		Common Stock	200,000
Employee Stock Option (Right to Buy)	\$ 38.2	02/26/2009		D ⁽⁹⁾	185,000	02/25/2009 05/26/2015		Common Stock	185,000
Employee Stock Option (Right to Buy)	\$ 22.94	02/26/2009		D ⁽¹⁰⁾	326,200	02/25/2009 05/29/2018		Common Stock	326,200

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
MAZZO JAMES V C/O ABBOTT MEDICAL OPTICS INC. 1700 E. ST. ANDREW PLACE SANTA ANA, CA 92705	X		Chairman and CEO	

Signatures

James V. Mazzo, By: Aimee S. Weisner, Attorney in Fact

02/27/2009

__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) These shares were tendered to Rainforest Acquisition Inc. ("Purchaser") pursuant to Purchaser's offer to purchase all of the outstanding shares of Advanced Medical Optics, Inc. (the "Issuer") at a cash purchase price of \$22.00 per share, without interest, and subject to any required withholding taxes, subject to the terms described in the Offer to Purchase, filed with the SEC on January 27, 2009, as amended (the "Tender Offer"). Such shares were purchased by Purchaser pursuant to the Tender Offer on February 25, 2009.
- (2) An aggregate of 8690.1096 shares of common stock were acquired through the issuer's Employee Stock Purchase Plan through February 24, 2009.
- (3) These shares were canceled pursuant to the Agreement and Plan of Merger, dated January 11, 2009, by and among Abbott Laboratories, Purchaser and the Issuer (the "Merger Agreement"), in exchange for the right to receive cash payment of \$22.00 per share in cash (without interest and subject to any required withholding taxes) at the effective time of the merger.
- (4) Shares withheld in satisfaction of tax obligations attributable to the lapse of restrictions on stock award or in satisfaction of tax withholding attributable to vesting and settlement of restricted stock units.
- (5) The exempt restricted stock units (previously reported on Table II) vested in full and were settled for shares of Issuer Common Stock in accordance with the terms of the applicable equity plan. At the effective time of the merger, such shares were cancelled pursuant to the Merger Agreement in exchange for the right to receive cash payment of \$22.00 per share in cash (without interest and subject to any required withholding taxes).
- (6) This previously reported exempt stock option, which had vested as to 100% of the underlying shares in accordance with its terms, and which is held in the name of the reporting person's family trust, will be exchanged for a fully vested stock option issued by Abbott Laboratories to purchase 98,470 shares of Abbott Laboratories common stock at an exercise price of \$21.92 per share, determined pursuant to a formula set forth in the Merger Agreement.
- (7) This previously reported exempt stock option, which had vested as to 100% of the underlying shares in accordance with its terms, and which is held in the name of the reporting person's family trust, will be exchanged for a fully vested stock option issued by Abbott Laboratories to purchase 49,235 shares of Abbott Laboratories common stock at an exercise price of \$33.76 per share, determined pursuant to a formula set forth in the Merger Agreement.
- (8) This previously reported exempt stock option, which was to have vested ratably over the first four years from the date of grant, will be exchanged for a fully vested stock option issued by Abbott Laboratories to purchase 82,058 shares of Abbott Laboratories common stock at an exercise price of \$82.19 per share, determined pursuant to a formula set forth in the Merger Agreement.
- (9) This previously reported exempt stock option, which was to have vested ratably over the first four years from the date of grant, will be exchanged for a fully vested stock option issued by Abbott Laboratories to purchase 75,904 shares of Abbott Laboratories common stock at an exercise price of \$93.11 per share, determined pursuant to a formula set forth in the Merger Agreement.
- (10) This previously reported exempt stock option, which was to have vested ratably over the first four years from the date of grant, will be exchanged for a fully vested stock option issued by Abbott Laboratories to purchase 133,838 shares of Abbott Laboratories common stock at an exercise price of \$55.92 per share, determined pursuant to a formula set forth in the Merger Agreement.

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.