

Sheffield Holly R  
Form 3  
July 18, 2018

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

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**INITIAL STATEMENT OF 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

(Print or Type Responses)

|  |         |                                      |  |  |
|--|---------|--------------------------------------|--|--|
| 1. Name and Address of Reporting Person *                              |         | 2. Date of Event Requiring Statement | 3. Issuer Name <b>and</b> Ticker or Trading Symbol                         |  |
| Â Sheffield Holly R  |         | (Month/Day/Year)                     | COOPER COMPANIES INC [COO]   |  |
| (Last)   | (First) | (Middle)                             | 07/11/2018   |  |
| C/O THE COOPER COMPANIES, INC.,Â 6140 STORNERIDGE MALL ROAD, SUITE 590 |         |                                      | 4. Relationship of Reporting Person(s) to Issuer                           | 5. If Amendment, Date Original Filed(Month/Day/Year)                   |
| (Street)   |         |                                      | (Check all applicable)   |  |
| PLEASANTON,Â CAÂ 94588   |         |                                      | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner       | 6. Individual or Joint/Group Filing(Check Applicable Line)             |
| (City)   | (State) | (Zip)                                | <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
|  |         |                                      | (give title below) (specify below)   | <input type="checkbox"/> Form filed by More than One Reporting Person  |
|  |         |                                      | EVP, CSO   |  |

**Table I - Non-Derivative Securities Beneficially Owned**

|                                    |  |   |  |
|------------------------------------|--|---|--|
| 1. Title of Security<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|------------------------------------|--|---|--|

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

SEC 1473 (7-02)

**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 Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

|   |   |  |   |   |  |
|---|---|--|---|---|--|
| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and Expiration Date<br>(Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security<br>(Instr. 4) | 4. Conversion or Exercise Price of Derivative | 5. Ownership Form of Derivative Security: | 6. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|---|---|--|---|---|--|

## Edgar Filing: Sheffield Holly R - Form 3

|                                      | Date Exercisable | Expiration Date | Title        | Amount or Number of Shares | Security      | Direct (D) or Indirect (I) (Instr. 5) |   |
|--------------------------------------|------------------|-----------------|--------------|----------------------------|---------------|---------------------------------------|---|
| Employee Stock Option (Right to Buy) | Â <u>(1)</u>     | 06/04/2028      | Common Stock | 17,528                     | \$ 226.3      | D                                     | Â |
| Restricted Stock Units               | Â <u>(2)</u>     | Â <u>(3)</u>    | Common Stock | 4,419                      | \$ <u>(4)</u> | D                                     | Â |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                  |       |
|--|---------------|-----------|------------------|-------|
|  | Director      | 10% Owner | Officer          | Other |
| Sheffield Holly R<br>C/O THE COOPER COMPANIES, INC.<br>6140 STORNERIDGE MALL ROAD, SUITE 590<br>PLEASANTON,Â CAÂ 94588 | Â             | Â         | Â<br>EVP,<br>CSO | Â     |

## Signatures

/s/ Holly R.  
Sheffield

07/17/2018

    Signature of  
Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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) 6/4/18 NQ Grant (mod 2-5 anni vest): The options will vest in equal increments over five years measured from the date of grant as follows: 1/4 shall vest on 6/4/20; 1/4 shall vest on 6/4/21; 1/4 shall vest on 6/4/22 and 1/4 shall vest on 6/4/23.
- (2) 6/4/18 RSU Grant (mod 2-5 anni vest): The RSUs will vest in equal increments over five years measured from the date of grant as follows: 1/4 shall vest on 6/4/20; 1/4 shall vest on 6/4/21; 1/4 shall vest on 6/4/22 and 1/4 shall vest on 6/4/23.
- (3) RSU Expiration Date: This award has no expiration date. Units will either vest or be forfeit.
- (4) RSU Exercise Price: There is no exercise price associated with the grant of Restricted Stock Units.

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.