ECOLAB INC. Form 3
March 07, 2017

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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person * Statement ECOLAB INC. [ECL] McCormick Michael C. (Month/Day/Year) 03/01/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 1 ECOLAB PLACE (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director _X_ Form filed by One Reporting _X__ Officer _ Other Person MINNEAPOLIS, MNÂ 55102 (give title below) (specify below) Form filed by More than One Ex.VP, GC & Asst. Secretary Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership (Instr. 4) Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) D Â Common Stock 47,489.162 Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. Persons who respond to the collection of information contained in this form are not

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

required to respond unless the form displays a

currently valid OMB control number.

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

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| | | | | Shares | | (I) (Instr. 5) | |
|--------------------------------------|-----------------------|------------|-----------------|--------|-----------|-------------------|---|
| Employee Stock Option (Right to Buy) | 12/01/2011(1) | 12/01/2020 | Common Stock | 8,700 | \$ 48.06 | D | Â |
| Employee Stock Option (Right to Buy) | 12/01/2012(1) | 12/01/2021 | Common Stock | 13,400 | \$ 55.6 | D | Â |
| Employee Stock Option (Right to Buy) | 12/05/2013(1) | 12/05/2022 | Common Stock | 9,800 | \$ 71.54 | D | Â |
| Employee Stock Option (Right to Buy) | 12/04/2014(1) | 12/04/2023 | Common Stock | 7,530 | \$ 103.27 | D | Â |
| Employee Stock Option (Right to Buy) | 12/03/2015(1) | 12/03/2024 | Common Stock | 7,647 | \$ 107.69 | D | Â |
| Employee Stock Option(Right to Buy) | 12/02/2016(1) | 12/02/2025 | Common Stock | 7,210 | \$ 119.12 | D | Â |
| Employee Stock Option (Right to Buy) | 12/07/2017 <u>(1)</u> | 12/07/2026 | Common Stock | 9,930 | \$ 117.73 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | |
|--------------------------------|---------------|-----------|-----------|-------|--|--|
| | Director | 10% Owner | Officer | Other | | |
| McCormick Michael C. | | | Ex.VP, GC | • | | |
| 1 ECOLAB PLACE | Â | Â | & Asst. | Â | | |
| MINNEAPOLIS, MN 55102 | | | Secretary | | | |

Signatures

/s/ David F. Duvick, as Attorney-In-Fact for Michael C.

McCormick

03/07/2017

**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).
- The date listed in the "Date Exercisable" column for each option represents the first anniversary of the date of grant of the option. Each option became exercisable or will become exercisable, on a cumulative basis, as to one-third of the option shares (excluding any fractional portion less than one share), on each of the first and second anniversaries of the date of grant and as to the remaining shares on the third anniversary of the date of grant.

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.

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