

Colfax CORP  
Form 4  
October 03, 2016

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Puckett A. Lynne

(Last) (First) (Middle)

420 NATIONAL BUSINESS PARKWAY, 5TH FLOOR

(Street)

ANNAPOLIS JUNCTION, MD 20701

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
Colfax CORP [CFX]

3. Date of Earliest Transaction (Month/Day/Year)  
09/29/2016

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_\_\_ Director \_\_\_ 10% Owner  
 Officer (give title below) \_\_\_ Other (specify below)  
SVP, GC & Secretary

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
\_\_\_ Form filed by More than One Reporting Person

**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 Indirect Beneficial Ownership (Instr. 4)
				(A) or (D)	Price		
				Code	V	Amount	
Common Stock, par value \$.001	09/29/2016		M <sup>(1)</sup>	A	1	\$ 14.48 <u>(1)</u>	20,370 D
Common Stock, par value \$.001	09/29/2016		S <sup>(1)</sup>	D	1	\$ 31 <u>(1)</u>	20,369 D
Common Stock, par value	09/30/2016		M <sup>(1)</sup>	A	21,036	\$ 14.48 <u>(1)</u>	41,405 D

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Common Stock, par value \$.001	09/30/2016	<u>S<sup>(1)</sup></u>	21,036	D	<u>\$ 31</u> <u>(1)</u>	20,369	D	
Common Stock, par value \$.001	10/03/2016	<u>M<sup>(1)</sup></u>	8,098	A	<u>\$</u> <u>14.48</u> <u>(1)</u>	28,467	D	
Common Stock, par value \$.001						1,111	I	By spouse

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

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SEC 1474  
(9-02)

**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. 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 of Underlying Securities (Instr. 3 and 4)	Amount or Number of Shares
				Code	V (A) (D)	Date Exercisable Expiration Date	Title	
Employee Stock Option (right to buy)	\$ 14.48	09/29/2016		<u>M<sup>(1)</sup></u>	1	<u>(2)</u> 09/26/2017	Common Stock, par value \$.001	1
Employee Stock Option (right to buy)	\$ 14.48	09/30/2016		<u>M<sup>(1)</sup></u>	21,036	<u>(2)</u> 09/26/2017	Common Stock, par value \$.001	21,036
Employee Stock Option (right to buy)	\$ 14.48	10/03/2016		<u>M<sup>(1)</sup></u>	8,098	<u>(2)</u> 09/26/2017	Common Stock, par value \$.001	8,098

buy)

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Puckett A. Lynne 420 NATIONAL BUSINESS PARKWAY 5TH FLOOR ANNAPOLIS JUNCTION, MD 20701			SVP, GC & Secretary	

## Signatures

/s/ A. Lynne Puckett	10/03/2016
<small>**Signature of Reporting Person</small>	<small>Date</small>

## 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) The exercise and sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan (the "10b5-1 Plan") adopted by the reporting person on September 8, 2016. The 10b5-1 Plan provided for the exercise of this option tranche, which expires in September 2017, with corresponding sales to cover the exercise price and related taxes. The remaining underlying shares following this net exercise and tax sale continue to be held by the reporting person.
- (2) The option vested in three equal annual installments beginning on September 27, 2011.

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.