

Steris plc  
Form 4  
November 02, 2015

**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

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**LEWIS DAVID B**

(Last) (First) (Middle)

**C/O CHANCERY HOUSE, 190  
WATERSIDE ROAD, HAMILTON  
INDUSTRIAL PARK**

(Street)

**LEICESTER, X0 LE5 1QZ**

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
**Steris plc [STE]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**11/02/2015**

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)

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<br>Security<br>(Instr. 3)            | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|--------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
|                                                  |                                         |                                                             | Code                                    | V                                                                          | Amount                                                                                                             | (A)<br>or<br>(D)                                                     | Price                                                             |
| Ordinary<br>Shares,<br>?0.10<br>Nominal<br>Value | 11/02/2015                              |                                                             | A                                       |                                                                            | 6,684                                                                                                              | A                                                                    | 11 6,684                                                          |
|                                                  |                                         |                                                             |                                         |                                                                            |                                                                                                                    | D                                                                    |                                                                   |

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)

# Edgar Filing: Steris plc - Form 4

**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) |                 | 8. Title and Amount of Underlying Securities (Instr. 3 and 4) |                            |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|-----|---------------------------------------------------------------|-----------------|---------------------------------------------------------------|----------------------------|
|                                            |                                                        |                                      |                                                    | Code                           | V                                                                                       | (A)                                                      | (D) | Date Exercisable                                              | Expiration Date | Title                                                         | Amount or Number of Shares |
| Director Stock Option (right to buy)       | \$ 32.34                                               | 11/02/2015                           |                                                    | A                              |                                                                                         | 3,133                                                    |     | <u>(2)</u>                                                    | 08/04/2020      | Ordinary Shares, 70.10 Nominal Value                          | 3,133                      |
| Director Stock Option (right to buy)       | \$ 31.61                                               | 11/02/2015                           |                                                    | A                              |                                                                                         | 3,121                                                    |     | <u>(3)</u>                                                    | 08/03/2021      | Ordinary Shares, 70.10 Nominal Value                          | 3,121                      |
| Director Stock Option (right to buy)       | \$ 32.36                                               | 11/02/2015                           |                                                    | A                              |                                                                                         | 3,218                                                    |     | <u>(4)</u>                                                    | 08/03/2022      | Ordinary Shares, 70.10 Nominal Value                          | 3,218                      |
| Career Restricted Stock Units              | <u>(5)</u>                                             | 11/02/2015                           |                                                    | A                              |                                                                                         | 8,675                                                    |     | <u>(5)</u>                                                    | <u>(5)</u>      | Ordinary Shares, 70.10 Nominal Value                          | 8,675                      |

## Reporting Owners

| Reporting Owner Name / Address                                                                               | Relationships                    |
|--------------------------------------------------------------------------------------------------------------|----------------------------------|
|                                                                                                              | Director 10% Owner Officer Other |
| LEWIS DAVID B<br>C/O CHANCERY HOUSE, 190 WATERSIDE ROAD<br>HAMILTON INDUSTRIAL PARK<br>LEICESTER, X0 LE5 1QZ | X                                |

## Signatures

/s/ Dennis P. Patton, Authorized Representative under Power of Attorney

11/02/2015

\_\_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).

Represents ordinary shares of STERIS plc ("New STERIS") acquired pursuant to merger of a wholly-owned subsidiary of New STERIS with and into STERIS Corporation ("STERIS"), with STERIS surviving the merger as a wholly-owned subsidiary of New STERIS (the

- (1) "Merger"), in exchange for common shares of STERIS, which was consummated simultaneous with and conditioned on New STERIS' acquisition of Synergy Health plc by commencing a "recommended offer" under English law. At the effective time of the Merger, each STERIS common share was cancelled and converted into the right to receive one New STERIS ordinary share.

This option to purchase 3,133 New STERIS ordinary shares, which is fully vested, was received in the Merger in exchange for an option to purchase 3,133 STERIS common shares for \$32.34 per share, subject to the same terms and conditions as the original STERIS stock option.

- (3) This option to purchase 3,121 New STERIS ordinary shares, which is fully vested, was received in the Merger in exchange for an option to purchase 3,121 STERIS common shares for \$31.61 per share, subject to the same terms and conditions as the original STERIS stock option.

- (4) This option to purchase 3,218 New STERIS ordinary shares, which is fully vested, was received in the Merger in exchange for an option to purchase 3,218 STERIS common shares for \$32.36 per share, subject to the same terms and conditions as the original STERIS stock option.

At the effective time of the Merger, each STERIS career restricted stock unit was cancelled and converted to a New STERIS career restricted stock unit, subject to the same terms and conditions that were applicable to the original STERIS career restricted stock unit.

- (5) These New STERIS career restricted stock units are fully vested and will be settled in New STERIS ordinary shares six months after the cessation of the Director's Board service.

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.