3M CO Form 3 July 11, 2017

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

OMB APPROVAL

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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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

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 3M CO [MMM] A Banovetz John Patrick (Month/Day/Year) 07/01/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 3M CENTER (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 (give title below) (specify below) MAPLEWOOD, MNÂ 55144 Form filed by More than One Sr Vice President Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 4. Nature of Indirect Beneficial (Instr. 4) Beneficially Owned Ownership Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Common Stock D Â  $1,272.6722 \frac{(1)}{2}$ Common Stock 492 I by spouse 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 required to respond unless the form displays a

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

currently valid OMB control number.

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

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Restricted Stock Units	(2)	(2)	Common Stock	204	\$ (3)	D	Â
Non-qualified Stock Option (Right to Buy)	02/09/2011	02/07/2020	Common Stock	1,040	\$ 78.72	D	Â
Non-qualified Stock Option (Right to Buy)	02/08/2012	02/08/2021	Common Stock	2,228	\$ 89.47	D	Â
Non-qualified Stock Option (Right to Buy)	02/07/2013	02/07/2022	Common Stock	3,236	\$ 87.89	D	Â
Non-qualified Stock Option (Right to Buy)	02/05/2014	02/03/2023	Common Stock	3,145	\$ 101.49	D	Â
Non-qualified Stock Option (Right to Buy)	02/04/2015	02/02/2024	Common Stock	2,921	\$ 126.72	D	Â
Non-qualified Stock Option (Right to Buy)	02/03/2016	02/03/2025	Common Stock	4,222 (4)	\$ 165.94	D	Â
Non-qualified Stock Option (Right to Buy)	02/02/2017	02/02/2026	Common Stock	6,828 <u>(5)</u>	\$ 147.87	D	Â
Non-qualified Stock Option (Right to Buy)	02/07/2018	02/06/2027	Common Stock	6,935 <u>(6)</u>	\$ 175.76	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
1 8	Director	10% Owner	Officer	Other		
Banovetz John Patrick 3M CENTER MAPLEWOOD, MN 55144		Â	Sr Vice President	Â		

### **Signatures**

/s/ Sheila B. Claugherty, attorney-in-fact for Mr.
Banovetz
07/11/2017

\*\*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).
- (1) Includes shares acquired under 3M's General Employee Stock Purchase Plan.
- (2) The Restricted Stock Units will vest on February 3, 2018.
- (3) Each restricted stock unit represents a contingent right to receive one share of 3M common stock.
- (4) This option becomes exercisable in equal installments on each of the first three anniversaries of the grant date (2/3/2015).

Reporting Owners 2

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- (5) This option becomes exercisable in equal installments on each of the first three anniversaries of the grant date (2/2/2016).
- (6) This option becomes exercisable in equal installments on each of the first three anniversaries of the grant date (2/7/2017).

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.