Fong Ivan K Form 4/A February 19, 2019

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**OMB** Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5

Check this box

**SECURITIES** Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

obligations may continue. See Instruction

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

1(b).

(Last)

3M CENTER

(Print or Type Responses)

1. Name and Address of Reporting Person \* Fong Ivan K

(First)

2. Issuer Name and Ticker or Trading Symbol

Issuer

(Middle)

3M CO [MMM]

3. Date of Earliest Transaction

(Month/Day/Year) 02/05/2019

(Check all applicable)

5. Relationship of Reporting Person(s) to

Director 10% Owner Other (specify \_X\_\_ Officer (give title below)

Sr. VP, Legal & Gen. Counsel

(Street)

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

02/07/2019

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

ST. PAUL, MN 55144-1000

(City)	(State)	(Zip) Tab	le I - Non-l	Derivative Sec	urities A	Acqui	red, Disposed of,	or Beneficiall	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactic Code (Instr. 8)	4. Securities Approximately 1.	of (D) d 5)  (A) or	d (A)	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)
Common Stock	02/05/2019		A	Amount 5,072.03	` /	\$ 0	28,310.7348	D	
Common Stock	02/05/2019		F	1,253.434 (1)	D S	\$ 0	27,057.3008 (2)	D	

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

#### Edgar Filing: Fong Ivan K - Form 4/A

# 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 or 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)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Incentive Stock Option (Right to Buy)	\$ 201.12	02/05/2019		A	19,904	02/05/2020	02/04/2029	Common Stock	19,904

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Fong Ivan K

3M CENTER Sr. VP, Legal & Gen. Counsel

ST. PAUL, MN 55144-1000

### **Signatures**

/s/ Sheila B. Claugherty, attorney-in-fact for Ivan K. Fong 02/19/2019

\*\*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).

On February 7, 2019, the reporting person reported the number of shares of 3M Common Stock that will be delivered on a 50% deferred basis as a result of the vesting of a 2016 performance share award made to the reporting person. The number of shares previously reported as being withheld for the payment of FICA taxes was estimated. This amendment is being filed to update the Form 4 with the actual number of shares withheld.

(2) Includes shares acquired under 3M's General Employee Stock Purchase Plan.

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.

Reporting Owners 2