

LUMINEX CORP  
Form 4  
August 05, 2013

**FORM 4**

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

OMB APPROVAL

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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 \*  
**BALTHROP PATRICK J**

(Last) (First) (Middle)  
  
12212 TECHNOLOGY BOULEVARD  
  
(Street)

AUSTIN, TX 78727

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
**LUMINEX CORP [LMNX]**

3. Date of Earliest Transaction (Month/Day/Year)  
**08/01/2013**

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)  
**President & CEO**

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
|                                 |                                      |  | Code                           | V   | Amount or Price   |  |   |
| Common Stock                    | 08/01/2013                           |  | A                              |   | 33,300 A \$ 10.1  | 400,384  | D   |
| Common Stock                    | 08/01/2013                           |  | S <sup>(1)</sup>               |   | 23,020 D \$ 20.01 <sup>(2)</sup>  | 377,364  | D   |
| Common Stock                    | 08/02/2013                           |  | M                              |   | 65,135 A \$ 10.1  | 442,499  | D   |
| Common Stock                    | 08/02/2013                           |  | S <sup>(1)</sup>               |   | 45,028 D \$ 20.0122 <sup>(3)</sup>  | 397,471  | D   |
| Common Stock                    |                                      |  |                                |   |   | 160,506  | I Trusts  |

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

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(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 |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| Stock Option (Right To Buy)                | \$ 10.1  | 08/01/2013                           |  | M                              | 33,300  | 05/31/2008 <sup>(4)</sup> 05/15/2014                     | Common Stock  | 33,300                     |
| Stock Option (Right To Buy)                | \$ 10.1  | 08/01/2013                           |  | M                              | 65,135  | 05/31/2008 <sup>(4)</sup> 05/15/2014                     | Common Stock  | 65,135                     |

## Reporting Owners

| Reporting Owner Name / Address                                       | Relationships |           |                 |       |
|--|---------------|-----------|-----------------|-------|
|  | Director      | 10% Owner | Officer         | Other |
| BALTHROP PATRICK J<br>12212 TECHNOLOGY BOULEVARD<br>AUSTIN, TX 78727 | X             |           | President & CEO |       |

## Signatures

/S/ HARRISS T. CURRIE, AS ATTORNEY-IN-FACT FOR PATRICK J. BALTHROP

08/05/2013

\_\_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).

(1) This sale is being made pursuant to a trading plan intended to comply with Rule 10b5-1 adopted by the seller on February 28, 2012. The representation regarding the seller's knowledge of material adverse non-public information speaks as of the date that the aforementioned trading plan was adopted.

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(2) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$20.00 to \$20.10 inclusive. Mr. Balthrop undertakes to provide to Luminex Corporation, any security holder of Luminex Corporation, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price withing the range set forth in this footnote 2 to this Form 4.

(3) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$20.00 to \$20.045 inclusive. Mr. Balthrop undertakes to provide to Luminex Corporation, any security holder of Luminex Corporation, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price withing the range set forth in this footnote 2 to this Form 4.

(4) The options vested in four installment on May 15, 2005, June 30, 2005, April 30, 2008 and May 31, 2008.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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