

KOECK HERBERT

Form 3

January 14, 2019

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

OMB APPROVAL

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**INITIAL STATEMENT OF 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 \*

KOECK HERBERT

(Last) (First) (Middle)

333 THREE D SYSTEMS  
CIRCLE

(Street)

ROCK HILL, SC 29730

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

01/14/2019

3. Issuer Name and Ticker or Trading Symbol  
3D SYSTEMS CORP [DDD]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ Officer ☐ Other  
(give title below) (specify below)  
EVP, Global Go To Market

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

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 Beneficially Owned**1. Title of Security  
(Instr. 4)2. Amount of Securities Beneficially Owned  
(Instr. 4)3. Ownership Form:  
Direct (D)  
or Indirect (I)  
(Instr. 5)4. Nature of Indirect Beneficial Ownership  
(Instr. 5)

Common Stock

35,689

D

A

Common Stock

39,471 <sup>(1)</sup>

D

A

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

SEC 1473 (7-02)

**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.****Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security  
(Instr. 4)2. Date Exercisable and Expiration Date  
(Month/Day/Year)3. Title and Amount of Securities Underlying Derivative Security  
(Instr. 4)

4. Conversion or Exercise Price of

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership  
(Instr. 5)

## Edgar Filing: KOECK HERBERT - Form 3

|   | Date<br>Exercisable | Expiration<br>Date | Title           | Amount or<br>Number of<br>Shares | Derivative<br>Security | Security:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) |   |
|---|---------------------|--------------------|-----------------|----------------------------------|------------------------|---|---|
| Performance Based<br>Restricted Stock Units       | Â (2)               | Â (2)              | Common<br>Stock | 15,000 (2)                       | \$ (2)                 | D   | Â |
| Performance Based<br>Restricted Stock Units       | Â (3)               | Â (3)              | Common<br>Stock | 15,000 (3)                       | \$ (3)                 | D   | Â |
| Performance Based Stock<br>Options (Right to Buy) | Â (4)               | 09/06/2026         | Common<br>Stock | 70,000 (4)                       | \$ 15.75               | D   | Â |
| Performance Based Stock<br>Options (Right to Buy) | Â (5)               | 09/06/2026         | Common<br>Stock | 70,000 (5)                       | \$ 15.75               | D   | Â |

## Reporting Owners

| Reporting Owner Name / Address                                       | Relationships |           |                            |       |
|--|---------------|-----------|----------------------------|-------|
|  | Director      | 10% Owner | Officer                    | Other |
| KOECK HERBERT<br>333 THREE D SYSTEMS CIRCLE<br>ROCK HILL,Â SCÂ 29730 | Â             | Â         | Â EVP, Global Go To Market | Â     |

## Signatures

/s/ Andrew M. Johnson,  
Attorney-in\_Fact

01/14/2019

\_\_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) The Reporting Person has been awarded 39,471 restricted stock units under the Issuer's 2015 Incentive Plan. These units will convert into an equal number of common stock shares upon vesting. 11,403 restricted stock units vest on August 15, 2019; 16,666 restricted stock units vest on September 6, 2019; and 11,402 restricted stock units vest on August 15, 2020.

(2) The Reporting Person has been awarded 15,000 restricted stock units under the Issuer's 2015 Incentive Plan. These restricted stock units convert into an equal number of common stock shares upon vesting. These restricted stock units vest, if at all, on the later date that is six months after the date of grant and the date that the closing price of a share of the common stock on each trading day during the immediately prior ninety consecutive calendar days is at least \$30.

(3) The Reporting Person has been awarded 15,000 restricted stock units under the Issuer's 2015 Incentive Plan. These restricted stock units convert into an equal number of common stock shares upon vesting. These restricted stock units vest, if at all, on the later date that is six months after the date of grant and the date that the closing price of a share of the common stock on each trading day during the immediately prior ninety consecutive calendar days is at least \$40.

(4) The Reporting Person has been awarded 70,000 options under the Issuer's 2015 Incentive Plan. These options to purchase the shares of common stock at an exercise price equal to the closing price of the common stock on September 6, 2016 are exercisable, if at all, on the later of the date that is six months after the date of grant and the date that the closing price of a share of the common stock on each of the trading days during the immediately prior ninety consecutive calendar days is at least \$30.

(5) The Reporting Person has been awarded 70,000 options under the Issuer's 2015 Incentive Plan. These options to purchase the shares of common stock at an exercise price equal to the closing price of the common stock on September 6, 2016 are exercisable, if at all, on the later of the date that is six months after the date of grant and the date that the closing price of a share of the common stock on each of the trading days during the immediately prior ninety consecutive calendar days is at least \$40.

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**Remarks:**

ExhibitÂ 24Â -Â PowerÂ ofÂ Attorney

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.