

THULIN INGE G
Form 4
May 06, 2013

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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
THULIN INGE G

(Last) (First) (Middle)

3M CENTER

(Street)

ST. PAUL, MN 55144-1000

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
3M CO [MMM]

3. Date of Earliest Transaction
(Month/Day/Year)
05/03/2013

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)

Chairman, 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)
Common Stock	05/03/2013		M	(A) or (D) Amount 6,990 (1)	\$ 86.8 60,122	D	
Common Stock	05/03/2013		F	(A) or (D) Amount 5,626 (1)	\$ 107.83 54,496	D	
Common Stock	05/03/2013		F	(A) or (D) Amount 657 (1)	\$ 107.83 53,839	D	
Common Stock	05/03/2013		M	(A) or (D) Amount 20,288 (2)	\$ 97.21 74,127	D	
Common Stock	05/03/2013		F	(A) or (D) Amount 18,289 (2)	\$ 107.83 55,838	D	

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Common Stock 05/03/2013 F 963 ⁽²⁾ D \$ 107.83 54,875 D

Common Stock 1,412 ⁽³⁾ I By 401k/paesop Trust

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 Security (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Non-qualified Stock Option (Right to Buy)	\$ 86.8	05/03/2013		M	6,990 ⁽¹⁾	01/27/2011	05/13/2013	Common Stock	6,990
Non-qualified Stock Option (Right to Buy)	\$ 97.21	05/03/2013		M	20,288 ⁽²⁾	10/29/2011	05/13/2013	Common Stock	20,288

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
THULIN INGE G 3M CENTER ST. PAUL, MN 55144-1000	X Chairman, President & CEO

Signatures

George Ann Biros, attorney-in-fact for Inge G. Thulin

05/06/2013

⁽¹⁾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).

This Form is being filed to report the exercise of a 3M stock option for a total of 6,990 shares by means of a stock swap. A stock swap is a method of exercising a stock option in which the option holder attests to the ownership of enough shares of stock already owned by the

- (1) option holder to cover the exercise price of the option being exercised. As a result of this stock swap, the reporting person acquired ownership of an additional 707 shares of 3M common stock. As a result of this transaction, 657 shares were sold to pay withholding taxes to the respective government agencies.

This Form is being filed to report the exercise of a 3M stock option for a total of 20,288 shares by means of a stock swap. A stock swap is a method of exercising a stock option in which the option holder attests to the ownership of enough shares of stock already owned by the

- (2) option holder to cover the exercise price of the option being exercised. As a result of this stock swap, the reporting person acquired ownership of an additional 1,036 shares of 3M common stock. As a result of this transaction, 963 shares were sold to pay withholding taxes to the respective government agencies.

- (3) Includes shares acquired during the fiscal year pursuant to the 3M Voluntary Investment Plan.

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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