

LIDDY EDWARD M  
Form 4  
November 14, 2018

**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 \*  
LIDDY EDWARD M

(Last) (First) (Middle)

3M CENTER

(Street)

MAPLEWOOD, MN 55144

(City) (State) (Zip)

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

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/13/2018

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)

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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
| Common<br>Stock                       | 11/13/2018                              |                                                             | A                                    | 184 <sup>(1)</sup> A \$ 0                                                  | 55,009 <sup>(2)</sup>                                                                                              | I                                                                    | By<br>Corporation                                                 |

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

**Persons who respond to the collection of  
information contained in this form are not  
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SEC 1474  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

## Edgar Filing: LIDDY EDWARD M - Form 4

|                                                  |                                                           |                                         |                                                       |                                      |                                                                                               |                                                             |                            |                                                                  |                                                   |                                               |                                                                                                             |
|--------------------------------------------------|-----------------------------------------------------------|-----------------------------------------|-------------------------------------------------------|--------------------------------------|-----------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------|------------------------------------------------------------------|---------------------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------------------------|
| 1. Title of<br>Derivative Security<br>(Instr. 3) | 2.<br>Conversion or Exercise Price of Derivative Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed Execution Date, if any<br>(Month/Day/Year) | 4.<br>Transaction Code<br>(Instr. 8) | 5.<br>Number of Derivative Securities Acquired (A) or Disposed of (D)<br>(Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date<br>(Month/Day/Year) |                            | 7. Title and Amount of Underlying Securities<br>(Instr. 3 and 4) |                                                   | 8. Price of Derivative Security<br>(Instr. 5) | 9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s)<br>(Instr. 3 and 4) |
|                                                  |                                                           |                                         |                                                       | <b>Code   V</b>                      | <b>(A)   (D)</b>                                                                              | <b>Date<br/>Exercisable</b>                                 | <b>Expiration<br/>Date</b> | <b>Title</b>                                                     | <b>Amount<br/>or<br/>Number<br/>of<br/>Shares</b> |                                               |                                                                                                             |

## Reporting Owners

| Reporting Owner Name / Address                     | Relationships |           |         |       |
|----------------------------------------------------|---------------|-----------|---------|-------|
|                                                    | Director      | 10% Owner | Officer | Other |
| LIDDY EDWARD M<br>3M CENTER<br>MAPLEWOOD, MN 55144 | X             |           |         |       |

## Signatures

/s/ Sheila B. Clagherty, attorney-in-fact for Edward M. Liddy

11/14/2018

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 non-employee director has elected to defer all or a portion of compensation otherwise payable in cash or stock to a common stock

(1) equivalents account under the terms of 3M's Compensation Plan for Non-employee Directors and has no voting or investment powers with respect to such account.

(2) Includes acquisition of deferred dividend reinvestment shares pursuant to 3M's Compensation Plan for Non-Employee Directors.

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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