

3M CO
Form 3/A
January 07, 2015

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 *	2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol
Â Bauman James L	(Month/Day/Year)	3M CO [MMM]
(Last) (First) (Middle)	01/01/2015	
3M CENTER		4. Relationship of Reporting Person(s) to Issuer
(Street)		(Check all applicable)
		☐ Director ☐ 10% Owner ☒ Officer ☐ Other (give title below) (specify below) Vice President
ST. PAUL,Â MNÂ 55144-1000		5. If Amendment, Date Original Filed(Month/Day/Year)
(City) (State) (Zip)		01/07/2015
		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	2,849	D	Â
Common Stock <u>(1)</u>	395	I	By Daughter

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

SEC 1473 (7-02)

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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 Derivative	5. Ownership Form of Derivative Security:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Non-qualified Stock Option (Right to Buy)	05/09/2007	05/09/2016	Common Stock	5,392	\$ 87.35	D	Â
Non-qualified Stock Option (Right to Buy)	05/08/2008	05/08/2017	Common Stock	6,392	\$ 84.78	D	Â
Non-qualified Stock Option (Right to Buy)	05/13/2009	05/13/2018	Common Stock	12,616	\$ 77.18	D	Â
Non-qualified Stock Option (Right to Buy)	02/09/2010	02/08/2019	Common Stock	11,660	\$ 54.11	D	Â
Non-qualified Stock Option (Right to Buy)	02/09/2011	02/07/2020	Common Stock	16,065	\$ 78.72	D	Â
Non-qualified Stock Option (Right to Buy)	02/08/2012	02/08/2021	Common Stock	10,922	\$ 89.47	D	Â
Non-qualified Stock Option (Right to Buy) ⁽²⁾	02/07/2013	02/07/2022	Common Stock	8,996	\$ 87.89	D	Â
Non-qualified Stock Option (Right to Buy) ⁽³⁾	02/05/2014	02/03/2023	Common Stock	35,105	\$ 101.49	D	Â
Non-qualified Stock Option (Right to Buy) ⁽⁴⁾	02/04/2015	02/02/2024	Common Stock	23,095	\$ 126.72	D	Â
Restricted Stock Units	Â ⁽⁵⁾	Â ⁽⁵⁾	Common Stock	4,630	\$ 0 ⁽⁶⁾	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bauman James L 3M CENTER ST. PAUL, MN 55144-1000	Â	Â	Â Vice President	Â

Signatures

/s/ Sheila B. Clagherty, attorney-in-fact for James L. Bauman 01/07/2015

 **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 disclaims beneficial ownership of these shares except to the extent of the reporting person's pecuniary interest in the shares.
- (2) This option becomes exercisable in equal installments on each of the first three anniversaries of the grant date (2/7/2012).

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- (3) This option becomes exercisable in equal installments on each of the first three anniversaries of the grant date (2/5/2013).
- (4) This option becomes exercisable in equal installments on each of the first three anniversaries of the grant date (2/4/2014).
- (5) The restricted stock units will vest 100% on 9-1-2015.
- (6) Each restricted stock unit represents a contingent right to receive one share of 3M common stock.

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Remarks:

POAÂ AttachedÂ toÂ Amendment.

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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