

Lumentum Holdings Inc.  
Form 4  
August 24, 2016

**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 \*  
**LOWE ALAN S**

(Last) (First) (Middle)

**C/O LUMENTUM, 400 NORTH MCCARTHY BLVD**

(Street)

**MILPITAS, CA 95035**

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
**Lumentum Holdings Inc. [LITE]**

3. Date of Earliest Transaction (Month/Day/Year)  
**08/22/2016**

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)  
**CEO and President**

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 (A) or (D) Price			
Common Stock	08/22/2016		M <sup>(1)</sup>	2,743 A \$ 0	38,880	D	
Common Stock	08/22/2016		F <sup>(2)</sup>	1,431 D \$ 34.6	37,449	D	
Common Stock	08/22/2016		M <sup>(1)</sup>	2,286 A \$ 0	39,735	D	
Common Stock	08/22/2016		F <sup>(2)</sup>	1,192 D \$ 34.6	38,543	D	
Common Stock	08/22/2016		M	10,008 A \$ 10.76	48,551	D	

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Common Stock	08/22/2016	<u>S</u> <sup>(3)</sup>	10,008	D	\$ <u>(4)</u>	33,9958	38,543	D	
Common Stock	08/22/2016	M	20,016	A	\$ 10.76		58,559	D	
Common Stock	08/22/2016	<u>S</u> <sup>(3)</sup>	20,016	D	\$ <u>(4)</u>	33,9958	38,543	D	
Common Stock	08/22/2016	M	39,577	A	\$ 18.82		78,120	D	
Common Stock	08/22/2016	<u>S</u> <sup>(3)</sup>	39,577	D	\$ <u>(5)</u>	34.0571	38,543	D	
Common Stock	08/22/2016	M	19,788	A	\$ 18.82		58,331	D	
Common Stock	08/22/2016	<u>S</u> <sup>(3)</sup>	19,788	D	\$ <u>(5)</u>	34.0571	38,543	D	
Common Stock	08/22/2016	<u>S</u> <sup>(3)</sup>	37,611	D	\$ <u>(5)</u>	34.0545	932	D	
Common Stock	08/22/2016	<u>S</u> <sup>(6)</sup>	23,611	D	\$ <u>(7)</u>	34.0142	47,221	I	Family Trust
Common Stock	08/22/2016	<u>S</u> <sup>(6)</sup>	23,611	D	\$ <u>(7)</u>	34.015	23,610	I	Family 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 Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number

								of Shares
Restricted Stock Units	\$ 0	08/22/2016	M	2,743	08/20/2016	(8)	Common Stock	2,743
Restricted Stock Units	\$ 0	08/22/2016	M	2,286	08/20/2016	(8)	Common Stock	2,286
Employee Stock Option (Right to Buy)	\$ 10.76	08/22/2016	M	10,008	08/01/2015	08/15/2017	Common Stock	10,008
Employee Stock Option (Right to Buy)	\$ 10.76	08/22/2016	M	20,016	08/01/2015	08/15/2017	Common Stock	20,016
Employee Stock Option (Right to Buy)	\$ 18.82	08/22/2016	M	39,577	08/01/2015	08/15/2018	Common Stock	39,577
Employee Stock Option (Right to Buy)	\$ 18.82	08/22/2016	M	19,788	08/01/2015	08/15/2018	Common Stock	19,788

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
LOWE ALAN S C/O LUMENTUM 400 NORTH MCCARTHY BLVD MILPITAS, CA 95035			CEO and President	

## Signatures

/s/ Judy G Hamel as  
Attorney-in-Fact

08/24/2016

\*\*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).

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- (1) Each unit converts upon vesting into one share of common stock.

These shares were retained by the Company in order to meet the tax withholding obligations of the award holder in connection with the vesting of an installment of the restricted stock unit award. The amount retained by the Company was not in excess of the amount of the tax liability.

- (3) Sale of shares pursuant to 10b5-1 plan dated 5/31/16.

The price is the weighted average sale price for the transactions reported on this line. The prices for the transactions reported on this line range from \$33.53 to \$34.65. The reporting person undertakes to provide, upon request by the staff of the Securities and Exchange Commission, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

- (5) The price is the weighted average sale price for the transactions reported on this line. The prices for the transactions reported on this line range from \$33.82 to \$34.65. The reporting person undertakes to provide, upon request by the staff of the Securities and Exchange Commission, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

- (6) Sale of shares pursuant to Family Trust 10b5-1 plan dated 5/31/2016.

The price is the weighted average sale price for the transactions reported on this line. The prices for the transactions reported on this line range from \$33.54 to \$34.65. The reporting person undertakes to provide, upon request by the staff of the Securities and Exchange Commission, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price.

- (8) Restricted Stock Units have no expiration date.

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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