

Shafer Stephen M
Form 3
April 09, 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 *		2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol	
Â Shafer Stephen M		(Month/Day/Year)	3M CO [MMM]	
(Last)	(First)	(Middle)	4. Relationship of Reporting Person(s) to Issuer	5. If Amendment, Date Original Filed(Month/Day/Year)
3M CENTER				
(Street)			(Check all applicable)	
			☐ Director ☐ 10% Owner ☒ Officer ☐ Other (give title below) (specify below) Senior VP-Bus Dev-Marketing	
MAPLEWOOD,Â MNÂ 55144			6. Individual or Joint/Group Filing(Check Applicable Line) ☒ Form filed by One Reporting Person ☐ Form filed by More than One Reporting Person	
(City)	(State)	(Zip)		

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	812.2711 ⁽¹⁾	D	Â

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 Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable Expiration Date	Title Amount or Number of			

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				Shares		(I) (Instr. 5)	
Restricted Stock Units	Â (2)	Â (2)	Common Stock	1,298	\$ (3)	D	Â
Non-qualified Stock Option (Right to Buy)	02/05/2014	02/03/2023	Common Stock	3,145	\$ 101.49	D	Â
Non-qualified Stock Option (Right to Buy)	02/04/2015	02/02/2024	Common Stock	2,338	\$ 126.72	D	Â
Non-qualified Stock Option (Right to Buy)	02/03/2016	02/03/2025	Common Stock	4,090	\$ 165.94	D	Â
Non-qualified Stock Option (Right to Buy)	02/02/2017	02/02/2026	Common Stock	5,964	\$ 147.87	D	Â
Non-qualified Stock Option (Right to Buy)	02/06/2018	02/06/2027	Common Stock	12,882	\$ 175.76	D	Â
Non-qualified Stock Option (Right to Buy)	02/06/2019	02/04/2028	Common Stock	7,279	\$ 233.63	D	Â
Non-qualified Stock Option (Right to Buy)	02/05/2020	02/04/2029	Common Stock	7,400	\$ 201.12	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Shafer Stephen M 3M CENTER MAPLEWOOD,Â MNÂ 55144	Â	Â	Â Senior VP-Bus Dev-Marketing	Â

Signatures

/s/ Sheila B. Clagherty, attorney-in-fact for Mr. Shafer

04/08/2019

__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) Includes shares acquired under 3M's General Employee Stock Purchase Plan.

(2) The restricted stock units will vest 100% five years from the grant date of 06/01/2015

(3) Each restricted stock unit represents a contingent right to receive one share of 3M common stock.

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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