#### **BROOKS AUTOMATION INC**

Form 4 April 12, 2006

## FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** Number:

3235-0287

Expires:

January 31, 2005

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**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5

obligations

Check this box

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

may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* EMERICK ROGER D

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to

Issuer

below)

Symbol

**BROOKS AUTOMATION INC** 

(Check all applicable)

[BRKS]

04/10/2006

(Last)

Security

(Instr. 3)

(Middle)

(Month/Day/Year) Execution Date, if

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

X\_ Director Officer (give title

10% Owner Other (specify

C/O BROOKS AUTOMATION. INC., 15 ELIZABETH DRIVE

(First)

(Street) 4. If Amendment, Date Original

(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)

Filed(Month/Day/Year)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

CHELMSFORD, MA 01824

(City) (State) (Zip) 1. Title of 2. Transaction Date 2A. Deemed

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Ownership Indirect (I) (Instr. 4) (Instr. 4)

Reported (A) Transaction(s)

or (Instr. 3 and 4)

Code V Amount Price (D)

Common 04/10/2006 Stock

S 5,000 Α (1)

14,000

D

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

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

## Edgar Filing: BROOKS AUTOMATION INC - Form 4

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. Transactic Code (Instr. 8)	5. Number of or 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 A Underlying S (Instr. 3 and 4
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title
Non-Qualified Stock Option (right to buy)	\$ 18.72	04/10/2006		D	10,000	10/01/2004(3)	07/01/2011	Common Stock
Non-Qualified Stock Option (right to buy)	\$ 23.67	04/10/2006		D	10,000	07/01/2003(5)	07/01/2012	Common Stock
Non-Qualified Stock Option (right to buy)	\$ 34.65	04/10/2006		D	15,000	05/13/2003(5)	05/13/2012	Common Stock
Non-Qualified Stock Option (right to buy)	\$ 45.77	04/10/2006		D	5,000	07/02/2002(5)	07/02/2011	Common Stock
Non-Qualified Stock Option (right to buy)	\$ 61.75	04/10/2006		D	5,000	07/03/2001(5)	07/03/2010	Common Stock
Non-Qualified Stock Option (right to buy)	\$ 39.75	04/10/2006		D	20,000	05/31/2001(10)	05/31/2010	Common Stock
Non-Qualified Stock Option (right to buy)	\$ 26.75	04/10/2006		D	5,000	07/01/2000(5)	07/01/2009	Common Stock
Non-Qualified Stock Option (right to buy)	\$ 20	04/10/2006		D	5,000	07/01/1998 <u>(5)</u>	07/01/2007	Common Stock

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

EMERICK ROGER D C/O BROOKS AUTOMATION, INC. 15 ELIZABETH DRIVE CHELMSFORD, MA 01824

X

## **Signatures**

/s/ By Thomas S. Grilk Attorney-in-Fact for RogerD. Emerick

04/12/2006

\*\*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).
- On the date indicated in Table I, Column 2 and Table II, Column 3, the issuer cancelled, pursuant to a Restricted Stock and Option
- (1) Cancellation Agreement, options granted to the reporting person. In exchange for the options and for \$.01 per share, the reporting person received 5000 shares of restricted stock.
- (2) Cancellation of option to buy the number of shares of Common Stock set forth in Table II, Column 7, granted to the reporting person on July 1, 2004.
- (3) The cancelled option provided for vesting in 16 equal quarterly increments beginning on the date set forth in Table II, Column 6.
- (4) Cancellation of option to buy the number of shares of Common Stock set forth in Table II, Column 7, granted to the reporting person on July 1, 2002.
- (5) The cancelled option provided for vesting in five equal annual increments commencing on the date set forth in Table II, Column 6.
- (6) Cancellation of option to buy the number of shares of Common Stock set forth in Table II, Column 7, granted to the reporting person on May 13, 2002.
- (7) Cancellation of option to buy the number of shares of Common Stock set forth in Table II, Column 7, granted to the reporting person on July 2, 2001.
- (8) Cancellation of option to buy the number of shares of Common Stock set forth in Table II, Column 7, granted to the reporting person on July 3, 2000.
- (9) Cancellation of option to buy the number of shares of Common Stock set forth in Table II, Column 7, granted to the reporting person on May 31, 2000.
- (10) The cancelled option provided for vesting in four equal annual increments commencing on the date set forth in Table II, Column 6.
- (11) Cancellation of option to buy the number of shares of Common Stock set forth in Table II, Column 7, granted to the reporting person on July 1, 1999.
- (12) Cancellation of option to buy the number of shares of Common Stock set forth in Table II, Column 7, granted to the reporting person on July 1, 1997.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

Reporting Owners 3