

BROOKS AUTOMATION INC

Form 3

November 13, 2007

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 *

SMALL RICHARD

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

11/08/2007

3. Issuer Name and Ticker or Trading Symbol

BROOKS AUTOMATION INC [BRKS]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

SVP, Corporate Controller

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person☐ Form filed by More than One Reporting PersonC/O BROOKS AUTOMATION,
INC., 15 ELIZABETH DRIVE

(Street)

CHELMSFORD, MA 02184

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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

27,708

D

A

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

SEC 1473 (7-02)

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information contained in this form are not
required to respond unless the form displays a
currently valid OMB control number.**

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)

Date Exercisable

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title

4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)6. Nature of
Indirect Beneficial
Ownership
(Instr. 5)

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	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Incentive Stock Option (right to buy)	09/18/2004 ⁽¹⁾	09/18/2010	Common Stock	15,648	\$ 25.21	D Â
Non-Qualified Stock Option (right to buy)	09/18/2004 ⁽²⁾	09/18/2010	Common Stock	4,352	\$ 25.21	D Â
Non-Qualified Stock Option (right to buy)	03/20/2005 ⁽³⁾	12/20/2011	Common Stock	10,000	\$ 17.22	D Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SMALL RICHARD C/O BROOKS AUTOMATION, INC. 15 ELIZABETH DRIVE CHELMSFORD, MA 02184	Â	Â	Â SVP, Corporate Controller	Â

Signatures

/s/ Thomas S. Grilk, attorney-in-fact for Richard Small

11/13/2007

__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 option became exercisable according to the following schedule: 3,173 shares on September 18, 2004; 793 shares on December 18, 2004; 991 shares on March 18, 2005; 991 shares on June 18, 2005; 992 shares on September 18, 2005; 992 shares on December 18, 2005; 991 shares on March 18, 2006; 991 shares on June 18, 2006; 992 shares on September 18, 2006; 992 shares on December 18, 2006; 1250 shares on March 18, 2007; 1250 shares on June 18, 2007; and 1250 shares on September 18, 2007.

(2) The option became exercisable according to the following schedule: 1,827 shares on September 18, 2004; 457 shares on December 18, 2004; 258 shares on March 18, 2005; 258 shares on June 18, 2005; 259 shares on September 18, 2005; 259 shares on December 18, 2005; 258 shares on March 18, 2006; 258 shares on June 18, 2006; 259 shares on September 18, 2006; and 259 shares on December 18, 2006.

(3) The option becomes exercisable in sixteen equal quarterly installments (of 625 shares each) beginning March 20, 2005.

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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