Edgar Filing: FOX STACY L - Form 4

| FOX STAC | | | | | | | | | | | | |
|--|---|--|------------|-------------------------------------|--|------------------|------------|--|--|---|--|--|
| September FORM | ЛЛ | | | | | | | | OMB AP | PROVAL | | |
| | UNITED | UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 | | | | | | | | 3235-0287 | | |
| Check t if no lor subject Section Form 4 Form 5 | nger to STATEN 16. or | STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES | | | | | | | | Expires:January 31, 2005Estimated averageburden hours per response0.5 | | |
| obligati may con <i>See</i> Inst 1(b). | ons ntinue. Section 170 | 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) | | | | | | | | | | | |
| FOX STACY L Symbo | | | | | nd Ticker or Tradi | | Iss | . Relationship of Reporting Person(s) to ssuer (Check all applicable) | | | | |
| (Last) (First) (Middle) 3. Da (Mon | | | 3. Date of | of Earliest 7 /Day/Year) 2017 | Fransaction | | | Director 10% Owner X Officer (give title Other (specify below) SVP & General Counsel | | | | |
| | | | | Aptionth/Day/Year) Ap | | | | Individual or Joint/Group Filing(Check pplicable Line) K_ Form filed by One Reporting Person | | | | |
| WILMING | GTON, DE 19805 | | | | | | | Form filed by Mo | | | | |
| (City) | (State) | (Zip) | Tał | ble I - Non- | Derivative Secur | rities A | Acquire | ed, Disposed of, | or Beneficiall | y Owned | | |
| 1.Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution I any (Month/Day | Date, if | Code | 4. Securities Acc onDisposed of (D) (Instr. 3, 4 and 5 |) | (A) or | 5. Amount of Securities Beneficially Owned Following Reported | 6. Ownership Form: Direct (D) or Indirect (I) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | | |
| Common | | | | Code V | Amount 36,788.5164 | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | (Instr. 4) | | | |
| Stock | 08/31/2017 | | | D | <u>(1)</u> | D | <u>(1)</u> | 0 | D | | | |

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

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

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

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| 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. 5. Number of TransactiorDerivative Code Securities (Instr. 8) 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 |
| Employee Stock Option (right to buy) | \$ 71.0648 | 08/31/2017 | | D | | 42,490 (2) | (2) | 02/03/2022 | Common Stock | 42,490 |
| Employee Stock Option (right to buy) | \$ 58.76 | 08/31/2017 | | D | | 61,493 (<u>3)</u> | <u>(3)</u> | 02/02/2026 | Common Stock | 61,493 |
| Employee Stock Option (right to buy) | \$ 76.17 | 08/31/2017 | | D | | 58,589 (<u>4)</u> | (4) | 02/01/2027 | Common Stock | 58,589 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | |
|--|---------------|-----------|-----------------------------|-------|--|--|--|
| | Director | 10% Owner | Officer | Other | | | |
| FOX STACY L CHESTNUT RUN PLAZA 730 974 CENTRE ROAD WILMINGTON, DE 19805 | | | SVP & General Counsel | | | | |
| Signatures | | | | | | | |
| Eril T. Hoover by Dower of | | | | | | | |

| Erik T. Hoover by Power of | 09/05/2017 | | |
|----------------------------|------------|--|--|
| Attorney | 09/03/2017 | | |
| | | | |

<u>**</u>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).

Disposed of pursuant to merger agreement between issuer and Dow Chemical Company in exchange for 47,164 shares or stock units, as applicable of DowDuPont common stock having a market value of \$67.18 per share or stock unit, as applicable, on the effective date of the merger.

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- (2) This option, which provided for vesting in three equal annual installments beginning February 4, 2016, was assumed by DowDuPont in the merger and exchanged for 54,472 options at a grant price of \$55.44.
- (3) This option, which provided for vesting in three equal annual installments beginning February 3, 2017, was assumed by DowDuPont in the merger and exchanged for 78,834 options at a grant price of \$45.84.
- (4) This option, which provided for vesting in three equal annual installments beginning February 2, 2018, was assumed by DowDuPont in the merger and exchanged for 75,457 options at a grant price of \$59.42.

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.