

Dubow Adam  
Form 3  
June 22, 2018

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

## 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

OMB  
Number: 3235-0104  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting  
Person \*

Â Dubow Adam

(Last)

(First)

(Middle)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

06/14/2018

3. Issuer Name **and** Ticker or Trading Symbol

BRISTOL MYERS SQUIBB CO [BMY]

4. Relationship of Reporting  
Person(s) to Issuer

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

(Check all applicable)

\_\_\_ Director \_\_\_ 10% Owner

X Officer \_\_\_ Other

(give title below) (specify below)

Chief Compliance & Ethics Offi

6. Individual or Joint/Group

Filing(Check Applicable Line)

X Form filed by One Reporting  
Person

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

BRISTOL-MYERS SQUIBB  
COMPANY,Â 345 PARK  
AVENUE

(Street)

NEW YORK,Â NYÂ 10154

(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, \$0.10 par value

14,698.152

D

Â

Common Stock, \$0.10 par value

886.9731

I

By BMY Savings and Investment  
Program (1)

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

SEC 1473 (7-02)

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

## Edgar Filing: Dubow Adam - Form 3

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 (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Market Share Units	Â (2)	03/10/2019	Common Stock, \$0.10 par value	304	\$ (3) D Â
Market Share Units	Â (4)	03/10/2020	Common Stock, \$0.10 par value	741	\$ (3) D Â
Market Share Units	Â (5)	03/10/2021	Common Stock, \$0.10 par value	1,354	\$ (3) D Â
Market Share Units	Â (6)	03/10/2022	Common Stock, \$0.10 par value	1,663	\$ (3) D Â
Performance Shares	Â (7)	03/10/2019	Common Stock, \$0.10 par value	2,218	\$ (7) D Â
Performance Shares	Â (8)	03/10/2020	Common Stock, \$0.10 par value	2,707	\$ (8) D Â
Performance Shares	Â (9)	03/10/2021	Common Stock, \$0.10 par value	2,495	\$ (9) D Â
Restricted Stock Units	Â (10)	09/03/2018	Common Stock, \$0.10 par value	797	\$ (11) D Â

## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director	10% Owner	Officer	Other
Â	Â	Â Chief Compliance & Ethics Offi	Â

Dubow Adam  
BRISTOL-MYERS SQUIBB COMPANY  
345 PARK AVENUE  
NEW YORK, NY 10154

## Signatures

/s/ Lisa A. Atkins, attorney-in-fact for Adam  
Dubow

06/22/2018

\_\_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) Based on plan statement as of most recent fiscal quarter.
- (2) These market share units will vest on March 10, 2019.  
  
Each market share unit converts into the number of shares of common stock determined by applying a payout factor to the target number of shares vesting on a given date. The payout factor is a ratio of the average of the closing price on the measurement date plus the nine prior trading days divided by the average stock price on the grant date (also a 10-day average). The minimum payout factor that must be achieved to earn a payout is 60% and the maximum payout factor is 200%.
- (3) Each market share unit converts into the number of shares of common stock determined by applying a payout factor to the target number of shares vesting on a given date. The payout factor is a ratio of the average of the closing price on the measurement date plus the nine prior trading days divided by the average stock price on the grant date (also a 10-day average). The minimum payout factor that must be achieved to earn a payout is 60% and the maximum payout factor is 200%.
- (4) One-half of these market share units will vest on each of March 10, 2019 and March 10, 2020.
- (5) One-third of these market share units will vest on each of March 10, 2019, March 10, 2020, and March 10, 2021.
- (6) Twenty-five percent of these market share units will vest on each of the first, second, third, and fourth anniversaries of the grant date, starting on March 10, 2019.
- (7) Each performance share converts into one share of common stock upon distribution in the first quarter of 2019, subject to a Total Shareholder Return modifier.
- (8) Each performance share converts into one share of common stock upon distribution in the first quarter of 2020.
- (9) Each performance share converts into one share of common stock upon distribution in the first quarter of 2021.
- (10) These restricted stock units will vest on September 3, 2018.
- (11) Each restricted stock unit converts into one share of common stock upon vesting.

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### Remarks:

EXHIBIT LIST: EX-24 Adam Dubow Power of Attorney

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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