

Roberts Daniel G
Form 3
May 10, 2018

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 *

Â Roberts Daniel G

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

05/03/2018

3. Issuer Name **and** Ticker or Trading Symbol
People's United Financial, Inc. [PBCT]

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)
Executive Vice President

6. Individual or Joint/Group
Filing(Check Applicable Line)
X Form filed by One Reporting
Person
____ Form filed by More than One
Reporting Person

C/O PEOPLE'S UNITED BANK,
N.A.,Â 850 MAIN STREET

(Street)

BRIDGEPORT,Â CTÂ 06604

(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

1,370 ⁽¹⁾

D

Â

Common Stock

1,766 ⁽²⁾

D

Â

Common Stock

1,152 ⁽³⁾

D

Â

Common Stock

744 ⁽⁴⁾

D

Â

Common Stock

18,842 ⁽⁵⁾

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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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)

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1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date <small>(Month/Day/Year)</small>		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			
Employee Option to Buy	Â <u>(6)</u>	02/18/2026	Common Stock	8,344	\$ 14.565	D	Â
Employee Option to Buy	Â <u>(7)</u>	02/16/2027	Common Stock	11,143	\$ 19.165	D	Â
Employee Option to Buy	Â <u>(8)</u>	02/15/2028	Common Stock	15,601	\$ 19.707	D	Â
Employee Option to Buy	Â <u>(9)</u>	11/15/2022	Common Stock	3,008	\$ 11.5275	D	Â
Employee Option to Buy	Â <u>(9)</u>	02/20/2024	Common Stock	38,868	\$ 13.9025	D	Â
Employee Option to Buy	Â <u>(9)</u>	02/19/2025	Common Stock	42,694	\$ 14.85	D	Â
Employee Option to Buy	Â <u>(9)</u>	02/18/2026	Common Stock	16,687	\$ 14.565	D	Â
Employee Option to Buy	Â <u>(9)</u>	02/16/2027	Common Stock	5,571	\$ 19.165	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Roberts Daniel G C/O PEOPLE'S UNITED BANK, N.A. 850 MAIN STREET BRIDGEPORT,Â CTÂ 06604	Â	Â	Â Executive Vice President	Â

Signatures

/s/ Daniel G.
Roberts

05/03/2018

 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) Includes 1,370 shares owned indirectly through the People's United Financial, Inc. Employee Stock Ownership Plan. Information is based on 03/31/2018 Plan statements.

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- (2) These are restricted shares that vest in equal annual increments on Mar. 1, 2019, Mar. 1, 2020 and Mar. 1, 2021.
- (3) These are restricted shares that vest in equal annual increments on Mar. 1, 2019 and Mar. 1, 2020.
- (4) These are restricted shares that vest on Mar. 1, 2019.
- (5) Shares held at Solium or brokerage account.
- (6) Exercisable on Mar. 1 immediately following the 3rd anniversary (100%) of the grant date.
- (7) Exercisable in equal annual increments over two years beginning on Mar. 1 immediately following the 2nd anniversary of the grant date.
- (8) Exercisable in equal annual increments over three years beginning on Mar. 1 immediately following the 1st anniversary of the grant date.
- (9) These options have become exercisable in accordance with the terms of the applicable option grants.

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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