

FIRST CITIZENS BANCSHARES INC /DE/

Form 4

September 17, 2013

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN 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 APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
CONNELL HOPE HOLDING

2. Issuer Name **and** Ticker or Trading
Symbol
FIRST CITIZENS BANCSHARES
INC /DE/ [FCNCA]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

4300 SIX FORKS ROAD

(Street)

RALEIGH, NC 27609

(City) (State) (Zip)

3. Date of Earliest Transaction
(Month/Day/Year)
09/13/2013

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

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify
below) Vice Chairman

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

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Class A Common Stock					121,256	D	
Class A Common Stock					5,320	I	As beneficiary of Trust
Class A Common Stock					891	I ⁽¹⁾	As Custodian for Elliot
Class A Common					330	I ⁽¹⁾	As custodian for John Patrick

Stock									
Class A Common Stock						1,390	I <u>(1)</u>	John Connell as Custodian for Hewlette	
Class A Common Stock						1,290	I <u>(1)</u>	John Connell as Custodian for John Patrick	
Class A Common Stock						18,845	I <u>(2)</u>	By Yadkin Valley Company and subsidiary	
Class A Common Stock						627	I <u>(2)</u>	By E&F Properties, Inc.	
Class A Common Stock						8,214	I <u>(2)</u>	By Twin States Farming, Inc.	
Class A Common Stock	09/13/2013	S	203	D	\$ 203.5	161,558	I <u>(2)</u>	By Southern BancShares (N.C.), Inc. and subsidiary	
Class A Common Stock	09/17/2013	S	1,500	D	\$ 203.9	160,058	I <u>(2)</u>	By Southern BancShares(N.C.), Inc. and subsidiary	
Class A Common Stock	09/17/2013	S	3,000	D	\$ 203.75	157,058	I <u>(2)</u>	By Southern BancShares(N.C.), Inc. and subsidiary	
Class A Common Stock						100,000	I <u>(2)</u>	By Fidelity BancShares (N.C.), Inc.	
Class B Common Stock						100,828	D		
Class B Common Stock						1,225	I	As beneficiary of Trust	
Class B Common Stock						1,751	I <u>(1)</u>	As custodian for Hewlette Connell	
Class B Common Stock						6,250	I <u>(1)</u>	Hewlette Collier Connell	
Class B Common Stock						6,751	I <u>(1)</u>	As custodian for John Patrick	

Class B Common Stock	6,950	I <u>(1)</u>	As custodian for Elliot
Class B Common Stock	323	I <u>(1)</u>	John Connell as custodian for Hewlette
Class B Common Stock	323	I <u>(1)</u>	John Connell as custodian for John Patrick
Class B Common Stock	100	I <u>(1)</u>	John Connell as custodian for Elliot
Class B Common Stock	1,900	I <u>(2)</u>	By Yadkin Valley Company and subsidiary
Class B Common Stock	200	I <u>(2)</u>	By E&F Properties, Inc.
Class B Common Stock	1,355	I <u>(2)</u>	By Twin States Farming, Inc.
Class B Common Stock	22,619	I <u>(2)</u>	By Southern BancShares (N.C.), Inc. and subsidiary

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.

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(9-02)

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

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. Transaction Code (Instr. 8)	5. Number of 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 Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
CONNELL HOPE HOLDING 4300 SIX FORKS ROAD RALEIGH, NC 27609	X	X	Vice Chairman	

Signatures

Hope Holding Connell, By: William R. Lathan, Jr.,
Attorney-in-fact

09/17/2013

____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).

The reporting person disclaims beneficial ownership of these securities, and this report shall not be deemed an admission that the reporting person is the beneficial owner of such securities for purposes of Section 16 of the Securities Exchange Act of 1934 or for any other purpose.

The reporting person is a director, officer and/or shareholder of the companies that own these shares, but she disclaims beneficial ownership of the listed shares, except to the extent of her pecuniary interest therein, if any, and this report shall not be deemed an admission that the reporting person is the beneficial owner of such securities for purposes of Section 16 of the Securities Exchange Act of 1934 or for any other purpose.

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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