

NOVAK DAVID C
Form 4
February 07, 2005

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

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
NOVAK DAVID C

(Last) (First) (Middle)

1441 GARDINER LANE

(Street)

LOUISVILLE, KY 40213

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
YUM BRANDS INC [YUM]

3. Date of Earliest Transaction
(Month/Day/Year)
02/04/2005

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

Chair CEO and Pres

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)
Common Stock	02/04/2005	02/04/2005	M	Amount (1) 75,000	(A) or (D) A \$ 11.4086	101,227.08	D
Common Stock	02/04/2005	02/04/2005	S	359 (1)	D \$ 45.62	100,868.08	D
Common Stock	02/04/2005	02/04/2005	S	2,756 (1)	D \$ 45.63	98,112.08	D
Common Stock	02/04/2005	02/04/2005	S	3,176 (1)	D \$ 45.64	94,936.08	D
Common Stock	02/04/2005	02/04/2005	S	7,311 (1)	D \$ 45.65	87,625.08	D

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Common Stock	02/04/2005	02/04/2005	S	<u>6,292</u> ⁽¹⁾	D	\$ 45.66	81,333.08	D
Common Stock	02/04/2005	02/04/2005	S	<u>2,517</u> ⁽¹⁾	D	\$ 45.67	78,816.08	D
Common Stock	02/04/2005	02/04/2005	S	<u>1,678</u> ⁽¹⁾	D	\$ 45.68	77,138.08	D
Common Stock	02/04/2005	02/04/2005	S	<u>32,298</u> ⁽¹⁾	D	\$ 45.69	44,840.08	D
Common Stock	02/04/2005	02/04/2005	S	<u>1,078</u> ⁽¹⁾	D	\$ 45.7	43,762.08	D
Common Stock	02/04/2005	02/04/2005	S	180 ⁽¹⁾	D	\$ 45.72	43,582.08	D
Common Stock	02/04/2005	02/04/2005	S	419 ⁽¹⁾	D	\$ 45.71	43,163.08	D
Common Stock	02/04/2005	02/04/2005	S	120 ⁽¹⁾	D	\$ 45.73	43,043.08	D
Common Stock	02/04/2005	02/04/2005	S	<u>1,977</u> ⁽¹⁾	D	\$ 45.74	41,066.08	D
Common Stock	02/04/2005	02/04/2005	S	<u>1,918</u> ⁽¹⁾	D	\$ 45.75	39,148.08	D
Common Stock	02/04/2005	02/04/2005	S	<u>2,756</u> ⁽¹⁾	D	\$ 45.76	36,392.08	D
Common Stock	02/04/2005	02/04/2005	S	<u>2,637</u> ⁽¹⁾	D	\$ 45.77	33,755.08	D
Common Stock	02/04/2005	02/04/2005	S	959 ⁽¹⁾	D	\$ 45.78	32,796.08	D
Common Stock	02/04/2005	02/04/2005	S	<u>1,918</u> ⁽¹⁾	D	\$ 45.79	30,878.08	D
Common Stock	02/04/2005	02/04/2005	S	240 ⁽¹⁾	D	\$ 45.8	30,638.08	D
Common Stock	02/04/2005	02/04/2005	S	779 ⁽¹⁾	D	\$ 45.82	29,859.08	D
Common Stock	02/04/2005	02/04/2005	S	<u>1,618</u> ⁽¹⁾	D	\$ 45.83	28,241.08	D
Common Stock	02/04/2005	02/04/2005	S	959 ⁽¹⁾	D	\$ 45.84	27,282.08	D
Common Stock	02/04/2005	02/04/2005	S	336 ⁽¹⁾	D	\$ 45.87	26,946.08	D
Common Stock	02/04/2005	02/04/2005	S	719 ⁽¹⁾	D	\$ 45.88	26,227.08	D
							220 ⁽²⁾	I

Common
StockBy
Daughter

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

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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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Options (right to buy)	\$ 11.4086	02/04/2005	02/04/2005	M		75,000 <u>(1)</u>		01/25/2000	01/25/2006	Common Stock	75,000

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
NOVAK DAVID C 1441 GARDINER LANE LOUISVILLE, KY 40213	X Chair CEO and Pres

Signatures

David C. Novak 02/07/2005

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).

(1) Shares exercised and sold pursuant to SEC 10b5-1 plan.

(2) Represents transfer of shares to minor daughter

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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