Edgar Filing: FIRST DATA CORP - Form 3/A

FIRST DATA CORP Form 3/A January 04, 2017

FORM 3

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

OMB APPROVAL

OMB Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per response...

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 *

FLOOR

Hack Jeffrey I

C/O FIRST DATA

CORPORATION, Â 225 LIBERTY STREET, 29TH

(Last)

(First)

(Middle)

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Statement

(Month/Day/Year)

10/15/2015

FIRST DATA CORP [FDC]

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

10/15/2015

(Check all applicable)

Director _X__ Officer

10% Owner Other (give title below) (specify below)

See remarks

6. Individual or Joint/Group

Filing(Check Applicable Line) _X_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

NEW YORK, NYÂ 10281

(City) (State)

(Street)

1. Title of Security (Instr. 4)

(Zip)

2. Amount of Securities

Beneficially Owned (Instr. 4)

Ownership

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Form: Direct (D) or Indirect (I) (Instr. 5)

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)

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)

5. 4. Conversion Ownership or Exercise Form of Price of

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Derivative Derivative Security:

Edgar Filing: FIRST DATA CORP - Form 3/A

| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Security | Direct (D) or Indirect (I) (Instr. 5) | |
|----------------------|---------------------|--------------------|----------------------------|----------------------------------|---------------|--|---|
| Class B Common Stock | (1)(2)(3) | (1)(2) | Class A Common Stock | 57,748 (2) | \$ <u>(1)</u> | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | |
|--|---------------|-----------|-------------|-------|--|
| . 9 | Director | 10% Owner | Officer | Other | |
| Hack Jeffrey I C/O FIRST DATA CORPORATION | | | | | |
| 225 LIBERTY STREET, 29TH FLOOR | Â | Â | See remarks | Â | |
| NEW YORK, NY 10281 | | | | | |

Signatures

/s/ Gretchen A. Herron, by power of attorney

01/04/2017

**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).
- Shares of Class B common stock (Class B Common Stock) of First Data Corporation (FDC) are convertible into shares of Class A (1) common stock of FDC (Class A Common Stock) on a one-for-one basis at any time at the option of the holder with the prior written consent of FDC, automatically upon transfer, with certain exceptions, and upon certain other events.
- Includes 57,748 shares of restricted Class B Common Stock, including 22,597 of which vested on September 26, 2016 and 35,151 of (2) which (i) 20% vested on April 11, 2016, (ii) 40% vested on January 1, 2017, and the remaining 40% will vest on January 1, 2018, subject to continued employment through the applicable vesting dates.
- This Amended Form 3 is being filed to correct the vesting schedule that was incorrectly reported for 35,151 shares of restricted Class B common stock. The correct vesting is (i) 20% on April 11, 2016, (ii) 40% on January 1, 2017 (rather than February 7, 2017) and (iii) the remaining 40% on January 1, 2018 (rather than February 7, 2018), subject to continued employment through the applicable vesting dates.

Â

Remarks:

Executive Vice President, Global Business Solutions

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.

Reporting Owners 2