### Edgar Filing: FIRST DATA CORP - Form 3

FIRST DATA CORP Form 3 October 15, 2015

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

**OMB APPROVAL** 

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**SECURITIES** 

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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 \*

FOREHAND JOE W

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

10/15/2015

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

FIRST DATA CORP [FDC]

(Check all applicable)

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

18208 PRESTON ROAD, **SUITE D9-387** 

(Street)

\_X\_\_ Director Officer

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

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

DALLAS, TXÂ 75252

(City) (State)

1. Title of Security (Instr. 4)

(Zip)

2. Amount of Securities Beneficially Owned

(Instr. 4)

(I) (Instr. 5)

Ownership Form: Direct (D)

Table I - Non-Derivative Securities Beneficially Owned

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

or Indirect

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

SEC 1473 (7-02)

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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

Conversion or Exercise Price of Derivative

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial

Ownership

(Instr. 5)

Date Exercisable

Expiration Date

Title

(Instr. 4)

Amount or Security Number of Shares

Security: Direct (D) or Indirect

(I)

						(Instr. 5)	
Class B Common Stock	(1)(2)	(1)(2)	Class A Common Stock	256,050 (2)	\$ <u>(1)</u>	D	Â
Stock Options (right to buy)	(3)	07/03/2024	Class B Common Stock (1)	158,182	\$ 12.65	D	Â
Stock Options (right to buy)	(4)	03/05/2023	Class B Common Stock (1)	316,364	\$ 11.07	D	Â
Stock Options (right to buy)	(4)	12/23/2020	Class B Common Stock (1)	94,909	\$ 9.49	D	Â
Stock Options (right to buy)	(4)	05/19/2020	Class B Common Stock (1)	158,182	\$ 9.49	D	Â
Stock Options (right to buy)	(4)	04/09/2020	Class B Common Stock (1)	316,364	\$ 9.49	D	Â
Units in Director Deferred Compensation Plan	(5)	(5)	Class A Common Stock	9,095	\$ <u>(5)</u>	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Othe	
FOREHAND JOE W 18208 PRESTON ROAD, SUITE D9-387 DALLAS, TX 75252	ÂΧ	Â	Â	Â	

## **Signatures**

By: /s/ Gretchen A. Herron, attorney-in-fact

10/15/2015

\*\*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 (the "Issuer") are convertible into shares of Class (1) A common stock of the Issuer ("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 the Issuer, automatically upon transfer, with certain exceptions, and upon certain other events.
- Includes 150,596 shares of restricted Class B Common Stock, including 131,923 of which will vest upon the expiration of the 180-day lock-up period in connection with the Issuer's initial public offering, 9,886 of which will vest on March 5, 2017 and 8,787 of which (i) 20% will vest upon the expiration of the 180-day lock-up period in connection with the Issuer's initial public offering, (ii) 40% will vest on February 24, 2017 and (iii) 40% will vest on February 24, 2018, subject to continued service through the applicable vesting dates.

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- (3) These stock options vest in equal annual installments on each of the first three anniversaries of March 5, 2014, subject to continued service through each applicable vesting date.
- (4) These stock options are fully vested and exercisable.
- (5) Each unit represents the economic equivalent of one share of Class A Common Stock. The units become payable in cash upon Mr. Forehand's termination of service as a director.

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### **Remarks:**

## Exhibit 24 - 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. 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.