Edgar Filing: INTERNATIONAL BUSINESS MACHINES CORP - Form 4

INTERNATIONAL BUSINESS MACHINES CORP

Form 4

January 03, 2017

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

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OMB APPROVAL

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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

1(b).

(Print or Type Responses)

may continue.

See Instruction

1. Name and Address of Reporting Person * FARR DAVID N

5. Relationship of Reporting Person(s) to Issuer

Symbol

INTERNATIONAL BUSINESS MACHINES CORP [IBM]

2. Issuer Name and Ticker or Trading

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction

Director 10% Owner Officer (give title Other (specify

(Month/Day/Year) 12/30/2016

C/O SECRETARY'S OFFICE, IBM CORPORATION, NEW ORCHARD ROAD

(Street)

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Applicable Line)

Filed(Month/Day/Year)

X Form filed by One Reporting Person Form filed by More than One Reporting

below)

ARMONK, NY 10504

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5)

Code V Amount (D) Price

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial Ownership (Instr. 4) (Instr. 4)

Reported (A)

Transaction(s) (Instr. 3 and 4)

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

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| 1. Title of | 2. 3. Transaction Date 3A. Deemed | | 3A. Deemed | 4. | 5. Nu | 5. Number 6. Date Exer | | cisable and | 7. Title and Amount of Underlying Securities | | Derivati |
|-------------|-----------------------------------|------------------|------------------------|---------------|------------------------|------------------------|------------------|-------------|--|--------|-----------|
| Derivative | Conversion | (Month/Day/Year) | Execution Date, if any | Transactionof | | | Expiration Date | | | | |
| Security | or Exercise | | | Code | Deriv | ative | (Month/Day/Year) | | (Instr. 3 and 4) | | Security |
| (Instr. 3) | Price of | | (Month/Day/Year) | (Instr. 8) | Securities Acquired | | | | | | (Instr. 5 |
| | Derivative | | | | | | | | | | |
| | Security | | | | (A) or | • | | | | | |
| | | | | | Dispo | sed | | | | | |
| | | | | | of (D) |) | | | | | |
| | | | | | (Instr. | 3, 4, | | | | | |
| | | | | | and 5) |) | | | | | |
| | | | | Code V | (A) | (D) | Date | Expiration | Title | Amount | |
| | | | | | | | Exercisable | Date | | or | |
| | | | | | | | | | | Number | |
| | | | | | | | | | | of | |
| | | | | | | | | | | Shares | |
| Promised | \$ 0 (1) | 12/30/2016 | | $A^{(2)}$ | 272 | | (3) | (3) | Common | 272 | \$ 165. |
| Fee Share | Ψ 0 <u></u> | 12/30/2010 | | · • | 212 | | | | Stock | 2,2 | Ψ 105. |

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

FARR DAVID N C/O SECRETARY'S OFFICE, IBM CORPORATION NEW ORCHARD ROAD ARMONK, NY 10504

Signatures

A. Gomes da Silva on behalf of D.

N. Farr

01/03/2017

Date

**Signature of Reporting Person

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) Promised Fee Shares under the IBM Board of Directors Deferred Compensation and Equity Award Plan are paid out after retirement in the company's common stock or cash.
- (2) Deferral of fees into Promised Fee Shares under the terms of the IBM Board of Directors Deferred Compensation and Equity Award Plan.
- (3) Distribution of Promised Fee Shares under the IBM Board of Directors Deferred Compensation and Equity Award Plan is deferred until retirement.

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.

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