## Edgar Filing: HAWAIIAN ELECTRIC CO INC - Form 3

#### HAWAIIAN ELECTRIC CO INC Form 3 November 19, 2009 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB APPROVAL FORM 3 Washington, D.C. 20549

# **INITIAL STATEMENT OF 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

#### (Print or Type Responses)

2. Date of Event Requiring Statement (Month/Day/Year) 07/01/1983				
			-	5. If Amendment, Date Original Filed(Month/Day/Year)
				× • •
	(Check a	all applicable)	)	6. Individual or Joint/Group
0	X_ Director Officer (give title below	Othe	Owner r ow)	Filing(Check Applicable Line) _X_Form filed by One Reporting Person Form filed by More than One Reporting Person
Table I -	Non-Derivati	ive Securiti	ies Ber	neficially Owned
	v Owned	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Natu Owner (Instr.	•
100,000		D	Â	
spond to the collection of tained in this form are no ond unless the form disp	f t	EC 1473 (7-02	)	
	Requiring Statement (Month/Day/Year) 07/01/1983 07/01/1983 00 Table I - 2. Amount of Beneficially (Instr. 4) 100,000 each class of securities benefic spond to the collection of trained in this form are no	Requiring Statement (Month/Day/Year) 07/01/1983 4. Relationshi Person(s) to Is (Check XDirector Officer (give title below Table I - Non-Derivati 2. Amount of Securities Beneficially Owned (Instr. 4) 100,000 each class of securities beneficially Spond to the collection of trained in this form are not bond unless the form displays a	Requiring Statement (Month/Day/Year) 07/01/1983   HAWAIIAN ELECTR     4. Relationship of Reporting Person(s) to Issuer     (Check all applicable)    XDirector  10%    Officer  00the     Table I - Non-Derivative Securities     2. Amount of Securities   3.     Beneficially Owned   Ownership     (Instr. 4)   Form:     Direct (D)   or Indirect     (I)   (Instr. 5)     100,000   D     each class of securities beneficially   SEC 1473 (7-02     spond to the collection of   this form are not     beneficially sa   SEC 1473 (7-02	Requiring Statement (Month/Day/Year) 07/01/1983   9. Issuer (Value and Ficker of Frame HAWAIIAN ELECTRIC CC (Month/Day/Year) 07/01/1983     4. Relationship of Reporting Person(s) to Issuer     (Check all applicable)    Officer    Officer    Officer    Officer    Officer    Officer    Other     (give title below)     (specify below)     Table I - Non-Derivative Securities Beneficially Owned (Instr. 4)     0     Ourschip     0

#### Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security	2. Date Exercisable and	3. Title and Amount of	4.	5.	6. Nature of Indirect
(Instr. 4)	Expiration Date	Securities Underlying	Conversion	Ownership	Beneficial Ownership
	(Month/Day/Year)	Derivative Security	or Exercise	Form of	(Instr. 5)
		(Instr. 4)	Price of	Derivative	
		T. 1	Derivative	Security:	
		Title	Security	Direct (D)	

OMB 3235-0104 Number: January 31, Expires: 2005 Estimated average burden hours per response... 0.5

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Date	Expiration	Amount or	or Indirect
Exercisable	Date	Number of	(I)
		Shares	(Instr. 5)

# **Reporting Owners**

Reporting Owner Name / Address		Relationships				
		Director	10% Owner	Officer	Other	
HAWAIIAN ELECTRIC INDUSTRIE P.O. BOX 730 HONOLULU, HI 96808-0730	ES INC	ÂX	Â	Â	Â	
Signatures						
Chester A. Richardson, Senior VP	11/19/20	09				
**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).

## Â

## **Remarks:**

\*\*\*The issuer's securities are not listed on a national securities exchange. Â Various classes of theÂ 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. size="2">Expiration DateTitleAmount or Number of Shares Restricted Stock Units -7 (1)04/01/2018 A 36,966 (2) (3) Common Stock 36,966 \$ 0 36,966 D Non-Qualified Stock Option (right to buy) \$ (5) (3) Common 24.37 (4)06/15/2022 Common Stock 60,111 60,111 D Restricted Stock Units -1 (1) (5) (3) Common Stock 80,147 80,147 D Restricted Stock 40,074 40,074 D Restricted Stock Units -2 (1) (6) (3) Common Stock 52,101 52,101 D Restricted Stock Units -4 (1) (7) (3) Stock Units -3 (1) (7) (3) Common Stock 45,052 45,052 D Common Stock 22,526 22,526 D Restricted Stock Units -5 (1) Restricted Stock Units -6 (1)(8) (3) Common Stock 37,436 37,436 D

# **Reporting Owners**

Reporting Owner Name / Address	Relationships				
1	Director	10% Owner	Officer	Other	
Cutler Scott C/O EBAY INC. 2025 HAMILTON AVE. SAN JOSE, CA 95125			SVP, NA		
Signatures					
Scott Cutler 0	4/03/2018				

<u>\*\*</u>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) Each restricted stock unit represents a contingent right to receive one share of the Issuer's common stock.

The reporting person received restricted stock units, 1/16th of which vests on 6/15/18, and an additional 1/16th of which vests each
(2) quarter thereafter. Upon vesting, the reporting person will receive a number of shares of common stock equal to the number of restricted stock units that have vested.

- (3) Not Applicable.
- (4) The option grant is subject to a four-year vesting schedule, vesting 25% on 5/18/16 and 1/48th per month thereafter.

The reporting person received restricted stock units subject to a four-year vesting schedule, vesting 25% on 6/15/16 and 25% each year
(5) thereafter. Upon vesting, the reporting person will receive a number of shares of common stock equal to the number of restricted stock units that have vested.

The reporting person received restricted stock units, 1/16th of which vests on 6/15/16, and an additional 1/16th of which vests each
(6) quarter thereafter. Upon vesting, the reporting person will receive a number of shares of common stock equal to the number of restricted stock units that have vested.

The reporting person received restricted stock units, 1/16th of which vests on 6/15/17, and an additional 1/16th of which vests each
quarter thereafter. Upon vesting, the reporting person will receive a number of shares of common stock equal to the number of restricted stock units that have vested.

The reporting person received restricted stock units, 1/16th of which vests on 12/15/17, and an additional 1/16th of which vests each

(8) quarter thereafter. Upon vesting, the reporting person will receive a number of shares of common stock equal to the number of restricted stock units that have vested.

### **Remarks:**

In addition to the equity grant described above, the compensation committee granted performance-based restricted stock units

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