Edgar Filing: MARSH & MCLENNAN COMPANIES, INC. - Form 4

MARSH & MCLENNAN COMPANIES, INC. Form 4 March 01, 2016 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person * 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading MCGIVNEY MARK C Issuer Symbol MARSH & MCLENNAN (Check all applicable) COMPANIES, INC. [MMC] (Last) (First) (Middle) 3. Date of Earliest Transaction Director 10% Owner X_Officer (give title Other (specify (Month/Day/Year) below) below) 1166 AVENUE OF THE 02/28/2016 Chief Financial Officer AMERICAS (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 NEW YORK, NY 10036 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 4. Securities Acquired (A) 5. Amount of 1.Title of 2. Transaction Date 2A. Deemed 3. 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transactionor Disposed of (D) Securities Ownership Indirect (Instr. 3) anv Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial (Month/Day/Year) Owned Direct (D) Ownership (Instr. 8) Following or Indirect (Instr. 4) Reported (\mathbf{I}) (A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Code V (D) Price Amount Common **M**⁽¹⁾ \$0 02/28/2016 15,468 A 31,373 D Stock Common 02/28/2016 F⁽¹⁾ 8,022 D 23,351 D 57.825 Stock

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

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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. Transactio Code (Instr. 8) | 5. Number of actionDerivative Securities . 8) 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) | | 8. De Se (In |
|-----------------------------------------------------|-----------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------|--------|----------------------------------------------------------------|--------------------|---------------------------------------------------------------------|-------------------------------------|-----------------------|
| | | | | Code V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |
| Restricted Stock Units | <u>(2)</u> | 02/28/2016 | | M <u>(1)</u> | 1 | 15,468 | (3) | (3) | Common Stock | 15,468 | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | |
|----------------------------------------------------------------------|---------------|-----------|-------------------------|-------|--|--|--|
| | Director | 10% Owner | Officer | Other | | | |
| MCGIVNEY MARK C 1166 AVENUE OF THE AMERICAS NEW YORK, NY 10036 | | | Chief Financial Officer | | | | |
| Signatures | | | | | | | |
| /s/ Tiffany D. Wooley, | 03/0 | 01/2016 | | | | | |

Attorney-in-Fact

Date

Explanation of Responses:

**Signature of Reporting Person

- 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).

Vesting and distribution to reporting person of 15,468 shares underlying restricted stock units of which 8,022 were withheld by Marsh & McLennan Companies to cover applicable taxes. These 15,468 shares underlying restricted stock units relate to 2,969 restricted stock

- (1) units that were granted on February 25, 2013, 8,016 restricted stock units relating to performance stock units that were granted on February 25, 2013 for the performance period 2013-2015, 2,431 restricted stock units that were granted on February 24, 2014, and 2,052 restricted stock units that were granted on February 23, 2015.
- (2) The security converts to Marsh & McLennan Companies common stock on a 1-for-1 basis.
- (3) Not Applicable.

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. ottom:2px;padding-right:2px;">

By: /s/ W. Page Barnes W. Page Barnes Executive Vice President and Chief Financial Officer

Reporting Owners

Date: May 18, 2018

3