

McCarthy Barry C
Form 4
September 18, 2018

FORM 4

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

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN 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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
McCarthy Barry C

(Last) (First) (Middle)

C/O FIRST DATA
CORPORATION, 225 LIBERTY
STREET, 29TH FLOOR

(Street)

NEW YORK, NY 10281

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
FIRST DATA CORP [FDC]

3. Date of Earliest Transaction
(Month/Day/Year)
09/14/2018

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer (give title ____ Other (specify
below) 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

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Class A Common Stock ⁽¹⁾	09/14/2018		C	151,203	A \$ 0	484,774	D
Class A Common Stock	09/14/2018		S	151,203	D \$ 25.7804	333,571	D

⁽²⁾

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

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SEC 1474
(9-02)

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number.

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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount Underlying Security (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount Owned Shares
Stock Options (right to buy)	\$ 9.49	09/14/2018		M			26,693	(3)	09/23/2019	Class B Common Stock (4)	26,693
Stock Options (right to buy)	\$ 9.49	09/14/2018		M			26,693	(3)	05/12/2020	Class B Common Stock (4)	26,693
Stock Options (right to buy)	\$ 9.49	09/14/2018		M			27,615	(3)	03/18/2021	Class B Common Stock (4)	27,615
Stock Options (right to buy)	\$ 9.49	09/14/2018		M			29,527	(3)	03/08/2022	Class B Common Stock (4)	29,527
Stock Options (right to buy)	\$ 11.07	09/14/2018		M			40,675	(3)	07/20/2023	Class B Common Stock (4)	40,675
Class B Common Stock	(4)	09/14/2018		M		26,693		(4)	(4)	Class A Common Stock	26,693
Class B Common Stock	(4)	09/14/2018		M		26,693		(4)	(4)	Class A Common Stock	26,693
Class B Common Stock	(4)	09/14/2018		M		27,615		(4)	(4)	Class A Common Stock	27,615
Class B Common Stock	(4)	09/14/2018		M		29,527		(4)	(4)	Class A Common Stock	29,527
Class B Common Stock	(4)	09/14/2018		M		40,675		(4)	(4)	Class A Common Stock	40,675

Stock

Stock

Class B

Class A

Common

(4)

09/14/2018

C

151,203

(4)

(4)

Common 15

Stock

Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
McCarthy Barry C C/O FIRST DATA CORPORATION 225 LIBERTY STREET, 29TH FLOOR NEW YORK, NY 10281				See remarks

Signatures

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

09/18/2018

__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 share of Class A Common Stock was issued upon the conversion of one share of Class B Common Stock.

The price represents the weighted average purchase price for multiple transactions reported on this line. The prices of the transactions
(2) ranged from \$25.68 to \$25.89, inclusive. Upon request of the SEC staff, First Data Corporation (FDC), or a security holder of FDC, the reporting person will provide full information regarding the number of shares purchased at each separate price.

(3) These stock options are fully vested and exercisable.

(4) Shares of Class B common stock are convertible into shares of 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.

Remarks:

Executive Vice President

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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