Edgar Filing: FIRST DATA CORP - Form 3/A

FIRST DATA CORP Form 3/A November 13, 2015

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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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

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person * Statement FIRST DATA CORP [FDC] McCarthy Barry C (Month/Day/Year) 10/15/2015 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O FIRST DATA 10/15/2015 (Check all applicable) CORPORATION, Â 225 LIBERTY STREET, 29TH 10% Owner Director **FLOOR** _X__ Officer Other (give title below) (specify below) (Street) 6. Individual or Joint/Group See Remarks Filing(Check Applicable Line) _X_ Form filed by One Reporting NEW YORK, NYÂ 10281 Person Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) (Instr. 5) Form: Direct (D) or Indirect (Instr. 5) Â Class A Common Stock 158,182 (1) (2) D Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly.

currently valid OMB control number.

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| 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) |

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

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| | Date Exercisable | Expiration Date | (Instr. 4) Title | Amount or Number of Shares | Price of Derivative Security | Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | |
|------------------------------|---------------------|--------------------|----------------------------|----------------------------------|------------------------------------|---|---|
| Stock Options (right to buy) | (3) | 10/14/2025 | Class A Common Stock | 158,182 (2) | \$ 16 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | |
|--------------------------------|---------------|-----------|---------------|-------|--|
| 1 | Director | 10% Owner | Officer | Other | |
| McCarthy Barry C | | | | | |
| C/O FIRST DATA CORPORATION | â | â | See Remarks | â | |
| 225 LIBERTY STREET, 29TH FLOOR | А | A | A See Remarks | A | |
| NEW YORK, NY 10281 | | | | | |

Signatures

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

**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).

Represents a grant of restricted Class A common stock ("Class A Common Stock") of First Data Corporation (the "Issuer"), of which, subject to the reporting person's continued employment through each applicable vesting date, two thirds will vest over time, with one

- (1) fourth of such amount vesting on each of December 31, 2017, 2018, 2019 and 2020, and one third will vest upon the Issuer's achievement of a closing trading price of the Class A Common Stock equal to or greater than \$32.00 per share over any ten consecutive trading-day period following the Issuer's initial public offering.
- (2) This Amended Form 3 is being filed to include restricted Class A Common Stock and additional stock options of the Issuer beneficially owned by the reporting person inadvertently omitted from the reporting person's Form 3.
- Of the 158,162 stock options granted, subject to the reporting person's continued service through each applicable vesting date, two thirds will vest over time, with one fourth of such amount vesting on each of December 31, 2017, 2018, 2019 and 2020, and one third will vest upon the Issuer's achievement of a closing trading price of the Class A Common Stock equal to or greater than \$32.00 per share over any ten consecutive trading-day period following the Issuer's initial public offering.

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Remarks:

Title - Executive Vice President, Head of Network & Security Solutions

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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