### Edgar Filing: STATE STREET CORP - Form 3

STATE STREET CORP

Form 3 June 16, 2016

## FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

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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)

1. Name and Address of Reporting

Person \*

Keenan Karen C

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

06/07/2016

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

STATE STREET CORP [STT]

4. Relationship of Reporting

Person(s) to Issuer

(Check all applicable)

5. If Amendment, Date Original

Filed(Month/Day/Year)

STATE STREET CORPORATION, Â ONE

LINCOLN STREET

(Street)

Director

\_X\_\_ Officer

10% Owner

Other (give title below) (specify below) EVP and Chief Admin. Officer 6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting

Person

Form filed by More than One Reporting Person

BOSTON. MAÂ 02111

(City)

(State) (Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security

(Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership 4. Nature of Indirect Beneficial Ownership

Form: Direct (D) (Instr. 5)

Â

or Indirect (I)

Common Stock

66,883

(Instr. 5) D

Reminder: Report on a separate line for each class of securities beneficially

owned directly or indirectly.

SEC 1473 (7-02)

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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

1. Title of Derivative Security

**Expiration Date** 

2. Date Exercisable and 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

4. Conversion or Exercise

5. Ownership Form of

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Price of Derivative Derivative Security:

(Instr. 4)

(Month/Day/Year)

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Date Expiration Title Amount or Security Direct (D)

Exercisable Date Number of Shares (I)

(Instr. 5)

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Keenan Karen C STATE STREET CORPORATION ONE LINCOLN STREET BOSTON, MAÂ 02111

 $\hat{A}$   $\hat{A}$  EVP and Chief Admin. Officer  $\hat{A}$ 

# **Signatures**

/s/ Shannon C. Stanley,
Attorney-in-fact
06/16/2016

\*\*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).

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.

Reporting Owners 2