Samuels Eric Form 4 July 19, 2017

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Form 4 or Form 5 obligations may continue. See Instruction

Check this box

if no longer

subject to

Section 16.

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(b).

1. Name and Address of Reporting Person \* Samuels Eric

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

EASTMAN KODAK CO [KODK]

(Middle)

(Zip)

(Last) (First) 3. Date of Earliest Transaction

(Month/Day/Year) 07/17/2017

Director 10% Owner X\_ Officer (give title

(Check all applicable)

CAO and Corp. Controller

below)

Other (specify below)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

Estimated average

burden hours per

EASTMAN KODAK COMPANY, 343 STATE STREET

(Street)

(State)

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

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

ROCHESTER, NY 14650

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities Form: Direct Indirect (Instr. 3) Code Disposed of (D) Beneficially (D) or Beneficial (Instr. 3, 4 and 5) Indirect (I) Ownership (Month/Day/Year) (Instr. 8) Owned Following (Instr. 4) (Instr. 4) Reported (A) Transaction(s)

Code V Amount

540

(Instr. 3 and 4)

(D) Price

Common Stock, par

value \$.01

(City)

07/17/2017

 $S^{(1)}$ 

D

3,445

D

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)

(9-02)

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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. Transactic Code (Instr. 8)	of			7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. F Der Sec (Ins
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock Units	\$ 0 (2)					<u>(2)</u>	09/03/2017	Common Stock, par value \$.01	2,104	
Restricted Stock Units	\$ 0 <u>(3)</u>					(3)	09/03/2018	Common Stock, par value \$.01	7,269	
Restricted Stock Units	\$ 0 <u>(4)</u>					<u>(4)</u>	09/03/2019	Common Stock, par value \$.01	9,628	
Restricted Stock Units	\$ 0 <u>(5)</u>					<u>(5)</u>	03/21/2020	Common Stock, par value \$.01	4,505	
Stock Option (Right to Buy)	\$ 23.78					<u>(6)</u>	09/02/2021	Common Stock, par value \$.01	19,012	
Stock Option (Right to Buy)	\$ 13.76					<u>(7)</u>	09/02/2022	Common Stock, par value \$.01	26,087	
Stock Option (Right to Buy)	\$ 15.58					<u>(8)</u>	09/02/2023	Common Stock, par value \$.01	25,467	
Stock Option (Right to Buy)	\$ 11.1					<u>(9)</u>	03/20/2024	Common Stock, par value \$.01	11,161	
	\$ 14.93					09/03/2013	09/03/2018		8 (10)	

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125% Common Warrants Stock, par value to purchase \$.01 Common Stock, par value \$.01 135% Warrants Common to

\$ 16.12 purchase Common

Stock, par 8 (10) 09/03/2013 09/03/2018 value

\$.01

**Reporting Owners** 

Relationships Reporting Owner Name / Address

> 10% Owner Officer Other Director

Samuels Eric

Stock, par value \$.01

EASTMAN KODAK COMPANY 343 STATE STREET ROCHESTER, NY 14650

CAO and Corp. Controller

**Signatures** 

/s/ Karen M. Kelly, Attorney-in-fact for Eric H. Samuels

07/19/2017

\*\*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).
- This sale was effected pursuant to a Rule 10b5-1 trading plan adopted by Mr. Samuels on 11/22/2016. **(1)**
- These restricted stock units, which convert into common stock on a one-for-one basis, vest one-third on each of the first three **(2)** anniversaries of the 9/3/2014 grant date.
- These restricted stock units, which convert into common stock on a one-for-one basis, vest one-third on each of the first three **(3)** anniversaries of the 9/3/2015 grant date.
- These restricted stock units, which convert into common stock on a one-for-one basis, vest one-third on each of the first three **(4)** anniversaries of the 9/3/2016 grant date.
- These restricted stock units, which convert into common stock on a one-for-one basis, vest one-third on each of the first three **(5)** anniversaries of the 3/21/2017 grant date.
- This option vests one-third on each of the first three anniversaries of the 9/3/2014 grant date. **(6)**
- **(7)** This option vests one-third on each of the first three anniversaries of the 9/3/2015 grant date.
- (8)This option vests one-third on each of the first three anniversaries of the 9/3/2016 grant date.
- **(9)** This option vests one-third on each of the first three anniversaries of the 3/21/2017 grant date.

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Each of these Warrants entitles the holder to purchase one share of common stock; however, for each Warrant exercised, the holder will receive a net share amount equal to the number of shares issuable upon the exercise multiplied by the closing sale price of the common stock on the exercise date minus the exercise price, divided by the closing sale price, together with cash for any fractional shares.

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.