SEC Form 4

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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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

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1. Name and Addres Bullwinkle D	ss of Reporting Person David E	*	2. Issuer Name and Ticker or Trading Symbol <u>EASTMAN KODAK CO</u> [KODK]		ionship of Reporting Persor all applicable) Director Officer (give title	n(s) to Issuer 10% Owner Other (specify
(Last) (First) (Middle) EASTMAN KODAK COMPANY 343 STATE STREET		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 07/01/2018	Х	below) CFO and Senior Vice	below)
(Street) ROCHESTER NY		14650 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi Line) X	dual or Joint/Group Filing (C Form filed by One Reporti Form filed by More than C Person	ng Person
	Ta	ble I - Non-Deriva	ative Securities Acquired, Disposed of, or Benefic	cially C	Dwned	

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)	Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D) Price (Instr. 3 and 4)			(1130. 4)	
Common Stock, par value \$.01	07/01/2018		М		6,157	Α	\$0 ⁽¹⁾	25,098	D	
Common Stock, par value \$.01	07/01/2018		F		2,037 ⁽²⁾	D	\$ <mark>3.8</mark>	23,061	D	

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

			(5-,	P	,	-,		,	.,								
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 of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)		
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares						
Restricted Stock Units	\$0 ⁽³⁾							(3)	09/03/2018	Common Stock, par value \$.01	1,111		1,111	D			
Restricted Stock Units	\$0 ⁽⁴⁾	07/01/2018		М			6,157	(4)	07/01/2019	Common Stock, par value \$.01	6,157	\$0	6,159	D			
Stock Option (Right to Buy)	\$23.78							(5)	09/02/2021	Common Stock, par value \$.01	5,805 ⁽⁵⁾		5,805 ⁽⁵⁾	D			
Stock Option (Right to Buy)	\$20.25							(6)	12/14/2021	Common Stock, par value \$.01	5,349 ⁽⁶⁾		5,349 ⁽⁶⁾	D			
Stock Option (Right to Buy)	\$13.76							(7)	09/02/2022	Common Stock, par value \$.01	7,965 ⁽⁷⁾		7,965 ⁽⁷⁾	D			
Stock Option (Right to Buy)	\$16.24							(8)	06/30/2023	Common Stock, par value \$.01	45,942 ⁽⁸⁾		45,942 ⁽⁸⁾	D			
Stock Option (Right to Buy)	\$12.5							(9)	09/13/2024	Common Stock, par value \$.01	355,330		355,330	D			

Explanation of Responses:

1. These restricted stock units convert into common stock on a one-for-one basis.

2. Shares withheld to cover tax withholding obligations on the vesting of restricted stock units.

3. These restricted stock units, which convert into common stock on a one-for-one basis, vest one-third on each of the first three anniversaries of the 9/3/2015 grant date.

4. These restricted stock units, which convert into common stock on a one-for-one basis, vest one-third on each of the first three anniversaries of the 7/1/2016 grant date.

5. This option vests one-third on each of the first three anniversaries of the 9/3/2014 grant date.

6. This option vests one-third on each of the first three anniversaries of the 12/15/2014 grant date.

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 7/1/2016 grant date.

9. This option vests one-third on each of the first three anniversaries of the 9/14/2017 grant date.

<u>/s/ Sharon E. Underberg,</u> <u>Attorney-in-fact for David E.</u>

** Signature of Reporting Person

Bullwinkle

07/03/2018

Date

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

 * 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).

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

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 Number.