

APPLE INC
Form 4
April 04, 2017

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
SCHILLER PHILIP W

(Last) (First) (Middle)

1 INFINITE LOOP

(Street)

CUPERTINO, CA 95014

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
APPLE INC [AAPL]

3. Date of Earliest Transaction (Month/Day/Year)
04/01/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

Senior Vice President

6. Individual or Joint/Group Filing(Check Applicable Line)
 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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount or Price | | |
| Common Stock | 04/01/2017 | | M | | 94,010 | D | |
| Common Stock ⁽²⁾ | 04/01/2017 | | F | | \$ 46,214 | D | |
| Common Stock ⁽³⁾ | 04/01/2017 | | G | | \$ 0 | D | |
| Common Stock ⁽³⁾ | 04/01/2017 | | G | | \$ 0 | I | By Trust ⁽⁴⁾ |
| Common Stock ⁽⁵⁾ | 04/04/2017 | | S | | \$ 47,796 | I | By Trust ⁽⁴⁾ |

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

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SEC 1474
(9-02)

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 of Underlying Securities (Instr. 3 and 4) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Restricted Stock Unit | (1) | 04/01/2017 | | M | 53,055 | (6) (6) | Common Stock | 53,055 |
| Restricted Stock Unit | (1) | 04/01/2017 | | M | 40,955 | (7) (7) | Common Stock | 40,955 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-----------------------|-------|
| | Director | 10% Owner | Officer | Other |
| SCHILLER PHILIP W 1 INFINITE LOOP CUPERTINO, CA 95014 | | | Senior Vice President | |

Signatures

/s/ Gene Levoff, Attorney-in-Fact for Philip W. Schiller
Date: 04/04/2017

__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).
- (1) Each restricted stock unit represents the right to receive, at settlement, one share of common stock. This transaction represents the settlement of restricted stock units in shares of common stock on their scheduled vesting date.
- (2) Shares withheld by Apple to satisfy the minimum statutory tax withholding requirements on vesting of restricted stock units.
- (3) These entries reflect the transfer of securities by the reporting person to a trust.
- (4) Shares held by a family trust of which the reporting person is a trustee. The reporting person disclaims beneficial ownership in these shares except as to the reporting person's pecuniary interest in the trust.

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- (5) This transaction was made pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on August 12, 2016.

This award was granted on March 3, 2014. 53,056 restricted stock units subject to the award vested on April 1, 2016, 53,055 restricted stock units vested on April 1, 2017, and 53,055 restricted stock units are scheduled to vest on April 1, 2018, assuming continued employment through the applicable vesting date.

- (6) This award was granted on March 3, 2014. 53,056 restricted stock units subject to the award vested on April 1, 2016, 53,055 restricted stock units vested on April 1, 2017, and 53,055 restricted stock units are scheduled to vest on April 1, 2018, assuming continued employment through the applicable vesting date.
- (7) This award was granted on October 17, 2014. 40,955 restricted stock units subject to the award vested on April 1, 2017, and 40,954 restricted stock units are scheduled to vest on each of April 1, 2018 and April 1, 2019, assuming continued employment through the applicable vesting date.

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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