

EASTMAN KODAK CO

Form 3

May 03, 2017

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

OMB APPROVAL

OMB  
Number: 3235-0104Expires: January 31,  
2005Estimated average  
burden hours per  
response... 0.5**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 \*

Â Vandagriff Randy

(Last)

(First)

(Middle)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

05/01/2017

3. Issuer Name **and** Ticker or Trading Symbol  
EASTMAN KODAK CO [KODK]4. Relationship of Reporting  
Person(s) to Issuer5. If Amendment, Date Original  
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other  
(give title below) (specify below)

Vice President

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting  
Person☐ Form filed by More than One  
Reporting PersonC/O EASTMAN KODAK  
COMPANY,Â 343 STATE  
STREET

(Street)

ROCHESTER,Â NYÂ 14650

(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  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)

Common Stock, par value \$.01

3,854

D

Â

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  
(Instr. 4)2. Date Exercisable and  
Expiration Date  
(Month/Day/Year)3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)4. Conversion  
or Exercise  
Price of  
Derivative5. Ownership  
Form of  
Derivative  
Security:6. Nature of Indirect  
Beneficial Ownership  
(Instr. 5)

# Edgar Filing: EASTMAN KODAK CO - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Restricted Stock Units	Â <u>(1)</u>	12/15/2017	Common Stock, par value \$.01	1,400	\$ 0 <u>(1)</u>	D	Â
Restricted Stock Units	Â <u>(2)</u>	12/15/2018	Common Stock, par value \$.01	2,112	\$ 0 <u>(2)</u>	D	Â
Stock Option (Right to Buy)	Â <u>(3)</u>	12/14/2021	Common Stock, par value \$.01	11,597	\$ 20.25	D	Â
Stock Option (Right to Buy)	Â <u>(4)</u>	12/14/2022	Common Stock, par value \$.01	7,921	\$ 12.63	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Vandagriff Randy C/O EASTMAN KODAK COMPANY 343 STATE STREET ROCHESTER, NY 14650	Â	Â	Â Vice President	Â

## Signatures

/s/ Sharon E. Underberg, Attorney-in-fact for Randy  
Vandagriff

05/03/2017

\_\_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).

(1) These restricted stock units, which convert into common stock on a one-for-one basis, vest on 12/15/2017.

(2) These restricted stock units, which convert into common stock on a one-for-one basis, vest one-half on each of the second and third anniversary of the 12/15/2015 grant date.

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

(4) This option vests one-third on each of the first three anniversaries of the 12/15/2015 grant date.

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.