SCHAPIRO MORTON O

Form 4

November 16, 2018

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB or

Check this box Washington, D.

Number: 3235-0287

0.5

OMB APPROVAL

if no longer subject to Section 16. Form 4 or Form 5 Expires: January 31, 2005
Estimated average

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

burden hours per response...

may continue. *See* Instruction

30(h) of the Investment Company Act of 1940

1(b).

obligations

(Print or Type Responses)

1. Name and Address of Reporting Person <u>*</u> SCHAPIRO MORTON O

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

O Symbol

(Middle)

MARSH & MCLENNAN COMPANIES, INC. [MMC]

(Check all applicable)

(Last)

(First)

3. Date of Earliest Transaction

(Month/Day/Year) 11/15/2018 _X__ Director _____ 10% Owner ____ Officer (give title _____ Other (specify

C/O NORTHWESTERN UNIVERSITY, 633 CLARK ST., ROOM 2-130

(Street)

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

EVANSTON, IL 60208

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date

Execution Date, if

(Month/Day/Year)

3. 4. Securities
TransactionAcquired (A) or
Code Disposed of (D)
(Instr. 8) (Instr. 3, 4 and 5)

5. Amount of Securities Beneficially Owned Following 6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial (I) Ownership (Instr. 4)

(A) or Reported Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price (Inst. 3 at

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

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.

SEC 1474

(9-02)

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

Edgar Filing: SCHAPIRO MORTON O - Form 4

1. Title Derivat Security (Instr. 3	ive y	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code (Instr.		5. Number of onDerivative 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. De Se (In
					Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restrice Stk. Units- Stk. Pl	Dir.	(1)	11/15/2018		A(2)		388.69		<u>(3)</u>	<u>(3)</u>	Common Stock	388.69	\$
Restrict Stk. Units-Stk. Pl	Dir.	(1)	11/15/2018		J <u>(4)</u>	V	300.1		(3)	(3)	Common Stock	300.1	\$

Reporting Owners

Reporting Owner Name / Address

Director 10% Owner Officer Other

SCHAPIRO MORTON O

C/O NORTHWESTERN UNIVERSITY 633 CLARK ST., ROOM 2-130

Signatures

EVANSTON, IL 60208

/s/ Tiffany D. Wooley, Attorney-in-Fact

**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) The security converts to Marsh & McLennan Companies common stock on a 1-for-1 basis.
- (2) Acquired in connection with director fees pursuant to the Marsh & McLennan Companies Directors Stock Compensation Plan.
- (3) Not Applicable.
- (4) Acquired with dividend equivalents credited to the reporting person's account under the Marsh & McLennan Companies Directors Stock Compensation Plan.

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