Vandagriff Randy Form 4 December 07, 2018

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** 

OMB 3235-0287 Number:

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if no longer subject to Section 16. Form 4 or

Check this box

Form 5 obligations may continue. See Instruction

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).

(Last)

(City)

1. Name and Address of Reporting Person \* Vandagriff Randy

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

EASTMAN KODAK CO [KODK]

(Check all applicable)

C/O EASTMAN KODAK

(Street)

(State)

(First)

(Month/Day/Year) 12/04/2018

3. Date of Earliest Transaction

Director 10% Owner X\_ Officer (give title Other (specify

(Middle)

(Zip)

below) below) Vice President

COMPANY, 343 STATE STREET

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check Applicable Line)

Filed(Month/Day/Year)

\_X\_ 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

ROCHESTER, NY 14650

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

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

5. Amount of Securities Beneficially (D) or Owned Following (Instr. 4) Reported

6. Ownership 7. Nature of Form: Direct Indirect Beneficial Indirect (I) Ownership (Instr. 4)

(A) Transaction(s) or

(Instr. 3 and 4) Price

Common Stock, par Code V Amount (D)

D

value \$.01

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

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2,986

SEC 1474 (9-02)

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

## Edgar Filing: Vandagriff Randy - Form 4

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)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Expiration I (Month/Day	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (E	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock Units	\$ 0 (1)					<u>(1)</u>	12/15/2018	Common Stock, par value \$.01	1,058	
Restricted Stock Units	\$ 0 (2)	12/04/2018		A	19,231	<u>(2)</u>	09/03/2021	Common Stock, par value \$.01	19,231	
Stock Option (Right to Buy)	\$ 20.25					(3)	12/14/2021	Common Stock, par value \$.01	11,597	
Stock Option (Right to Buy)	\$ 12.63					<u>(4)</u>	12/14/2022	Common Stock, par value \$.01	7,921	
Stock Option (Right to Buy)	\$ 12.5					<u>(5)</u>	09/13/2024	Common Stock, par value \$.01	152,285	
Stock Option (Right to Buy)	\$ 3.9	12/04/2018		A	30,488	<u>(6)</u>	12/03/2025	Common Stock, par value \$.01	30,488	

# **Reporting Owners**

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

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# **Signatures**

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

12/07/2018

\*\*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) 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.
- These restricted stock units, which convert into common stock on a one-for-one basis, were granted under the Company's 2013 Omnibus
- (2) Incentive Plan, as amended, in a transaction exempt under Rule 16b-3 and, except as otherwise provided in the award notice, vest one-third on 9/3/2019 and one-third on each of the first two anniversaries of such 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.
- (5) This option vests one-third on each of the first three anniversaries of the 9/14/2017 grant date.
  - This option was granted under the Company's 2013 Omnibus Incentive Plan, as amended, in a transaction exempt under Rule 16b-3 and,
- (6) except as otherwise provided in the award notice, vests one-third on 9/3/2019 and one-third on each of the first two anniversaries of such

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.

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