

WELLS FARGO & COMPANY/MN

Form 4

March 17, 2016

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 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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
LEVY RICHARD

2. Issuer Name **and** Ticker or Trading
Symbol
**WELLS FARGO &
COMPANY/MN [WFC]**

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
343 SANSOME STREET
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
03/15/2016

____ Director ____ 10% Owner
☒ Officer (give title below) ____ Other (specify below)
Executive VP & Controller

SAN FRANCISCO, CA 94104

(City) (State) (Zip)

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

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) |
|--|---|---|--------------------------------------|---|--|---|---|
| Common Stock, \$1 2/3 Par Value | 03/15/2016 | | M | 81,842.0988 (1) | A \$ 0 | 83,056.0988 | D |
| Common Stock, \$1 2/3 Par Value | 03/15/2016 | | F | 42,706.0988 | D \$ 49.98 | 40,350 | D |
| Common Stock, \$1 2/3 Par Value | 03/15/2016 | | M | 1,235.0942 (2) | A \$ 0 | 41,585.0942 | D |

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| | | | | | | | | |
|--|------------|---|-------------------------|---|-------------|-------------------------|---|-----------------------------|
| Common Stock, \$1 2/3 Par Value | 03/15/2016 | F | 616.0942 | D | \$ 49.98 | 40,969 | D | |
| Common Stock, \$1 2/3 Par Value | 03/15/2016 | M | 987.7399 ⁽³⁾ | A | \$ 0 | 41,956.7399 | D | |
| Common Stock, \$1 2/3 Par Value | 03/15/2016 | F | 492.7399 | D | \$ 49.98 | 41,464 | D | |
| Common Stock, \$1 2/3 Par Value | 03/15/2016 | M | 557.5985 ⁽⁴⁾ | A | \$ 0 | 42,021.5985 | D | |
| Common Stock, \$1 2/3 Par Value | 03/15/2016 | F | 278.5985 | D | \$ 49.98 | 41,743 | D | |
| Common Stock, \$1 2/3 Par Value | | | | | | 99 | I | Ira |
| Common Stock, \$1 2/3 Par Value | | | | | | 783.8101 ⁽⁵⁾ | I | Through 401(k) Plan |
| Common Stock, \$1 2/3 Par Value | | | | | | 93,222 | I | Through RL & DL Trust |

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)

| 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 Underlying Security (Instr. 3 and 4) |
|---|---|---|---|---|---|--|--|
|---|---|---|---|---|---|--|--|

| | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Am Num Shar |
|-------------------------------|------------|------------|------|---|-----|-------------|---------------------|--------------------|--|-------------------|
| 2013 Performance Shares | <u>(6)</u> | 03/15/2016 | M | | | 81,842.0988 | <u>(7)</u> | <u>(7)</u> | Common Stock, \$1 2/3 Par Value | 81,842.0988 |
| Restricted Share Right | <u>(8)</u> | 03/15/2016 | M | | | 1,235.0942 | <u>(9)</u> | <u>(9)</u> | Common Stock, \$1 2/3 Par Value | 1,235.0942 |
| Restricted Share Right | <u>(8)</u> | 03/15/2016 | M | | | 987.7399 | <u>(10)</u> | <u>(10)</u> | Common Stock, \$1 2/3 Par Value | 987.7399 |
| Restricted Share Right | <u>(8)</u> | 03/15/2016 | M | | | 557.5985 | <u>(11)</u> | <u>(11)</u> | Common Stock, \$1 2/3 Par Value | 557.5985 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| LEVY RICHARD 343 SANSOME STREET SAN FRANCISCO, CA 94104 | | | Executive VP & Controller | |

Signatures

Richard Levy, by Anthony R. Augliera, as
Attorney-in-Fact

03/17/2016

__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).

- These shares represent common stock of Wells Fargo & Company (the "Company") acquired on March 15, 2016 upon settlement of a
- (1) Performance Share award granted on March 8, 2013 in connection with the attainment of pre-established performance goals over the three-year performance period ended December 31, 2015 (as previously disclosed on a Form 4 filed on March 3, 2016).
 - (2) Number of shares represents a Restricted Share Right ("RSR") vesting on 3/15/2016. Original grant date was 3/8/2013. This vesting represents one-third of the original amount of RSRs granted (plus dividend equivalents reinvested in additional RSRs).
 - (3) Number of shares represents a RSR vesting on 3/15/2016. Original grant date was 2/25/2014. This vesting represents one-third of the original amount of RSRs granted (plus dividend equivalents reinvested in additional RSRs).
 - (4) Number of shares represents a RSR vesting on 3/15/2016. Original grant date was 2/24/2015. This vesting represents one-third of the original amount of RSRs granted (plus dividend equivalents reinvested in additional RSRs).
 - (5)

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Reflects share equivalent of units in the Wells Fargo ESOP Fund under the 401(k) Plan (the "Plan") as of February 29, 2016, as if investable cash equivalents held by the Plan were fully invested in Company common stock.

- (6) Each Performance Share represents a contingent right to receive one share of Company common stock upon vesting based on the attainment of pre-established performance goals.
- Represents the maximum number of 2013 Performance Shares earned based on the Company's attainment of pre-established performance goals for the three-year performance period ended December 31, 2015, as provided under the terms of a Performance Share award granted on March 8, 2013, which is exempt under Rule 16b-3(d). The 2013 Performance Shares will be settled in shares of common stock of the Company on March 15, 2016. As a condition to receiving the award, the reporting person agreed to hold, while employed by the Company and for at least one year after retirement, shares of Company common stock equal to at least 50% of the after-tax shares (assuming a 50% tax rate) acquired upon vesting.
- (7)
- (8) Each RSR represents a contingent right to receive one share of Company common stock.
- These RSRs vest in three installments: one-third on 3/15/2014, 3/15/2015, and 3/15/2016. As a condition to receiving the grant, the reporting person agreed to hold, while employed by the Company and for at least one year after retirement, shares of Company common stock equal to at least 50% of the after-tax shares (assuming a 50% tax rate) acquired upon vesting. These RSRs were granted to the reporting person as part of the reporting person's 2012 annual incentive compensation award.
- (9)
- These RSRs vest in three installments: one-third on 3/15/2015, 3/15/2016, and 3/15/2017. As a condition to receiving the grant, the reporting person agreed to hold, while employed by the Company and for at least one year after retirement, shares of Company common stock equal to at least 50% of the after-tax shares (assuming a 50% tax rate) acquired upon vesting. These RSRs were granted to the reporting person as part of the reporting person's 2013 annual incentive compensation award.
- (10)
- These RSRs vest in three installments: one-third on 3/15/2016, 3/15/2017, and 3/15/2018. As a condition to receiving the grant, the reporting person agreed to hold, while employed by the Company and for at least one year after retirement, shares of Company common stock equal to at least 50% of the after-tax shares (assuming a 50% tax rate) acquired upon vesting. These RSRs were granted to the reporting person as part of the reporting person's 2014 annual incentive compensation award.
- (11)

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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