#### Edgar Filing: TRAVIS TRACEY THOMAS - Form 4

#### TRAVIS TRACEY THOMAS

Form 4

November 02, 2018

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

**OMB APPROVAL** 

**OMB** 3235-0287 Number:

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Check this box if no longer subject to

Section 16. Form 4 or 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

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

(Print or Type Responses)

1(b).

1. Name and Address of Reporting Person \* TRAVIS TRACEY THOMAS

2. Issuer Name and Ticker or Trading Symbol

Issuer

5. Relationship of Reporting Person(s) to

**ESTEE LAUDER COMPANIES** INC [EL]

(Check all applicable)

Director

EVP & CFO

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year) 10/31/2018

X\_ Officer (give title below)

10% Owner Other (specify

THE ESTEE LAUDER **COMPANIES INC., 767 FIFTH AVENUE** 

(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

NEW YORK, NY 10153

(City)

(State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of	2. Transaction Date	2A. Deemed	3.	4. Securit	ies Ac	quired	5. Amount of	6.	7. Nature of
Security	(Month/Day/Year)	Execution Date, if	Transaction(A) or Disposed of (D)			Securities	Ownership	Indirect	
(Instr. 3)		any	Code	Code (Instr. 3, 4 and 5)			Beneficially	Form: Direct	Beneficial
		(Month/Day/Year)	(Instr. 8)			Owned	(D) or	Ownership	
							Following	Indirect (I)	(Instr. 4)
					( )		Reported	(Instr. 4)	
				(A)			Transaction(s)		
			G 1 W		or	ъ.	(Instr. 3 and 4)		
			Code V	Amount	(D)	Price			
Class A Common Stock	10/31/2018		M	14,516 (1)	A	\$ 0 (2)	47,280	D	
Class A Common Stock	10/31/2018		F(3)	7,110	D	\$ 140.8	40,170	D	

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

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## 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. Transactic Code (Instr. 8)	Securities		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amoun or Number of Shares
Restricted Stock Units (Share Payout) (4)	\$ 0 (2)	10/31/2018		M		5,333	10/31/2018(5)	10/31/2018	Class A Common Stock	5,333
Restricted Stock Units (Share Payout) (4)	\$ 0 (2)	10/31/2018		M		4,848	10/31/2018 <u>(6)</u>	10/31/2019	Class A Common Stock	4,848
Restricted Stock Units (Share Payout) (4)	\$ 0 (2)	10/31/2018		M		4,335	10/31/2018(7)	11/02/2020	Class A Common Stock	4,335

### **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
TRAVIS TRACEY THOMAS THE ESTEE LAUDER COMPANIES INC. 767 FIFTH AVENUE NEW YORK, NY 10153			EVP & CFO			
Signatures						
Tracey Thomas Travis, by Spencer G. Smul, attorney-in-fact		1	1/02/2018			

\*\*Signature of Reporting Person

Reporting Owners 2

Date

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### **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) Payout of shares upon vesting of portions of Restricted Stock Units ("RSUs") granted September 4, 2015, September 6, 2016 and September 5, 2017.
- (2) Not applicable.
- (3) Represents the withholding of shares for tax purposes.
  - RSUs vest and are paid out in shares of Class A Common Stock on a one-to-one basis on the applicable vesting date. RSUs generally vest
- (4) in three approximately equal installments. Upon payout, additional shares will be withheld to cover statutory tax obligations. RSUs are accompanied by dividend equivalent rights that will be payable in cash at the time of payout of the related shares.
- (5) RSUs from grant dated September 4, 2015.
- (6) RSUs from grant dated September 6, 2016. Assuming continued employment, RSUs will vest and be paid out as follows: 4,849 on October 31, 2019.
- (7) RSUs from grant dated September 5, 2017. Assuming continued employment, RSUs will vest and be paid out as follows: 4,335 on October 31, 2019; and 4,335 on November 2, 2020.

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.