

Godderz Adam J
Form 3
January 07, 2019

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

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated 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 *		2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol	
Â Godderz Adam J		(Month/Day/Year)	KANSAS CITY SOUTHERN [KSU]	
(Last)	(First)	(Middle)	4. Relationship of Reporting Person(s) to Issuer	5. If Amendment, Date Original Filed(Month/Day/Year)
		01/01/2019		
427 W 12TH STREET			(Check all applicable)	
(Street)			<input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) General Counsel & Corp. Sec.	
KANSAS CITY,Â MOÂ 64105			6. Individual or Joint/Group Filing(Check Applicable Line)	
(City)	(State)	(Zip)	<input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person	

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	2,637	D	Â
Common Stock	1,383.446	I	By 401(k)/PS Plan

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 Derivative	5. Ownership Form of Derivative Security:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
---	---	--	---	---	--

Edgar Filing: Godderz Adam J - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	Â (1)	02/22/2021	Common Stock	550	\$ 52.62	D	Â
Employee Stock Option (Right to Buy)	Â (2)	02/21/2022	Common Stock	446	\$ 66.99	D	Â
Employee Stock Option (Right to Buy)	Â (3)	02/20/2023	Common Stock	604	\$ 97.77	D	Â
Employee Stock Option (Right to Buy)	Â (4)	02/19/2024	Common Stock	631	\$ 94.23	D	Â
Employee Stock Option (Right to Buy)	Â (5)	02/17/2025	Common Stock	607	\$ 119.35	D	Â
Employee Stock Option (Right to Buy)	Â (6)	02/18/2026	Common Stock	1,218	\$ 82.71	D	Â
Employee Stock Option (Right to Buy)	Â (7)	02/16/2027	Common Stock	1,145	\$ 86.89	D	Â
Employee Stock Option (Right to Buy)	Â (8)	03/05/2028	Common Stock	982	\$ 105.83	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Godderz Adam J 427 W 12TH STREET KANSAS CITY, MO 64105	Â	Â	Â General Counsel & Corp. Sec.	Â

Signatures

Adam J.
Godderz

01/07/2019

**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 options became exercisable in three equal annual installments on February 23, 2012, February 23, 2013 and February 23, 2014.
- (2) These options became exercisable in three equal annual installments on February 22, 2013, February 22, 2014 and February 22, 2015.
- (3) These options became exercisable in three equal annual installments on February 21, 2014, February 21, 2015 and February 21, 2016.
- (4) These options became exercisable in three equal annual installments on February 20, 2015, February 20, 2016 and February 20, 2017.
- (5) These options became exercisable in three equal annual installments on February 18, 2016, February 18, 2017 and February 18, 2018.
- (6)

Edgar Filing: Godderz Adam J - Form 3

These options become exercisable in three equal annual installments. The first and second installments became exercisable on February 19, 2017 and February 19, 2018, respectively. The third installment will become exercisable on February 19, 2019.

- (7) These options become exercisable in three equal annual installments. The first installment became exercisable on February 17, 2018. The second and third installments will become exercisable on February 17, 2019 and February 17, 2020, respectively.
- (8) These options will become exercisable in three equal annual installments on March 6, 2019, March 6, 2020 and March 6, 2021, respectively.

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.