Edgar Filing: INTERCONTINENTALEXCHANGE INC - Form 4

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

INTERCONTINENTALEXCHANGE INC

Form 4

November 13, 2013

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

OMB APPROVAL OMB

3235-0287 Number: January 31,

Expires: 2005 Estimated average

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

Common

Stock

11/13/2013

(Print or Type Responses)

1. Name and Address of Reporting Person * 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Marcial Edwin D Issuer Symbol INTERCONTINENTALEXCHANGE (Check all applicable) INC [ICE] (Last) (First) (Middle) 3. Date of Earliest Transaction Director 10% Owner _X__ Officer (give title Other (specify (Month/Day/Year) below) below) 2100 RIVEREDGE 11/13/2013 Chief Technology Officer & SVP PARKWAY, SUITE 500 (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting ATLANTA, GA 30328 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 4. Securities Acquired 5. Amount of 3. 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of Securities Form: Direct Indirect (Instr. 3) Code (D) Beneficially (D) or Beneficial (Instr. 3, 4 and 5) Ownership (Month/Day/Year) (Instr. 8) Owned Indirect (I)

Code V

D

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

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Following

Reported

0

Transaction(s) (Instr. 3 and 4)

(A)

(D)

D

Amount

18,967

Price

(2)

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

(Instr. 4)

(Instr. 4)

D

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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. Transactio Code (Instr. 8)	5. Number on 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 of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy) (3)	\$ 129.36	11/13/2013		D	8,135	<u>(4)</u>	01/11/2023	Common Stock	8,135
Employee Stock Option (right to buy) (3)	\$ 112.15	11/13/2013		D	5,767	<u>(5)</u>	01/17/2022	Common Stock	5,767
Employee Stock Option (right to buy) (3)	\$ 106	11/13/2013		D	6,575	<u>(6)</u>	12/10/2019	Common Stock	6,575
Employee Stock Option (right to buy) (3)	\$ 112.48	11/13/2013		D	5,412	<u>(7)</u>	01/11/2021	Common Stock	5,412
Employee Stock Option (right to buy) (3)	\$ 80.17	11/13/2013		D	4,916	<u>(6)</u>	12/16/2018	Common Stock	4,916
Employee Stock Option (right to buy) (3)	\$ 189.43	11/13/2013		D	6,450	<u>(6)</u>	12/28/2017	Common Stock	6,450
Employee Stock Option (right to buy) (3)	\$ 104.23	11/13/2013		D	5,647	<u>(6)</u>	12/22/2016	Common Stock	5,647

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Marcial Edwin D 2100 RIVEREDGE PARKWAY SUITE 500 ATLANTA, GA 30328

Chief
Technology
Officer & SVP

Signatures

/s/ Andrew J. Surdykowski, Attorney-in-fact

11/13/2013

**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).

As of the effective time (the "Effective Time") of the transactions contemplated by the Amended and Restated Agreement and Plan of Merger dated as of March 19, 2013, by and among IntercontinentalExchange, Inc. ("ICE"), IntercontinentalExchange Group, Inc. ("ICE Group"), NYSE Euronext, Braves Merger Sub, Inc., and NYSE Euronext Holdings LLC (formerly known as Baseball Merger Sub, LLC)

- (1) Group J, NYSE Euronext, Braves Merger Sub, Inc., and NYSE Euronext Holdings LLC (formerly known as Baseball Merger Sub, LLC (the "Merger Agreement"), each share of common stock of ICE and each performance based restricted stock unit of ICE held by the reporting person was converted into one share of common stock of ICE Group or one substantially equivalent performance based restricted stock unit of ICE Group, respectively. (This footnote is continued onto footnote 2).
- The common stock number referred to in Table I is an aggregate number and represents 11,852 shares of common stock of ICE and 7,115 unvested performance based restricted stock units of ICE, for which the performance period has been satisfied. The performance based restricted stock units vest over a three year period, in which 33.33% of the performance based restricted stock units vest each year on the anniversary of the respective grant dates.
- As of the Effective Time, each ICE employee stock option was converted into an ICE Group employee stock option on the same terms (3) and conditions (including vesting schedule and per share exercise price) as applied to such ICE stock option immediately prior to the Effective Time.
- (4) 33.33% of the options vest on January 11, 2014, the first anniversary date of grant, and the remaining 66.67% of the options vest in equal monthly installments between February 11, 2014 and January 11, 2016.
- (5) 33.33% of the options vested on January 17, 2013, the first anniversary date of grant, and the remaining 66.67% of the options either have vested or will vest in equal monthly installments between February 17, 2013 and January 17, 2015.
- (6) These options are fully vested.
- (7) 33.33% of the options vested on January 11, 2012, the first anniversary date of grant, and the remaining 66.67% of the options vested or will vest in equal monthly installments between February 11, 2012 and January 11, 2014.

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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