

Biondi Paul  
Form 3  
June 22, 2018

# 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 \*

Â Biondi Paul

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

06/14/2018

3. Issuer Name and Ticker or Trading Symbol

BRISTOL MYERS SQUIBB CO [BMY]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

\_\_\_ Director \_\_\_ 10% Owner

☒ X \_\_\_ Officer \_\_\_ Other

(give title below) (specify below)

SVP, Head of Strategy &amp; BD

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ X \_\_\_ Form filed by One Reporting Person

\_\_\_ Form filed by More than One Reporting Person

BRISTOL-MYERS SQUIBB  
COMPANY,Â 345 PARK  
AVENUE

(Street)

NEW YORK,Â NYÂ 10154

(City)

(State)

(Zip)

### 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)

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)

Date  
Exercisable

Expiration  
Date

3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)

Title

Amount or  
Number of

4. Conversion  
or Exercise  
Price of  
Derivative  
Security

5. Ownership  
Form of  
Derivative  
Security:  
Direct (D)

6. Nature of Indirect  
Beneficial  
Ownership  
(Instr. 5)

# Edgar Filing: Biondi Paul - Form 3

				Shares		or Indirect (I) (Instr. 5)	
Market Share Units	Â <u>(1)</u>	03/10/2019	Common Stock, \$0.10 par value	648	\$ <u>(2)</u>	D	Â
Market Share Units	Â <u>(3)</u>	03/10/2020	Common Stock, \$0.10 par value	1,716	\$ <u>(2)</u>	D	Â
Market Share Units	Â <u>(4)</u>	03/10/2021	Common Stock, \$0.10 par value	3,286	\$ <u>(2)</u>	D	Â
Market Share Units	Â <u>(5)</u>	03/10/2022	Common Stock, \$0.10 par value	3,707	\$ <u>(2)</u>	D	Â
Performance Shares	Â <u>(6)</u>	03/10/2019	Common Stock, \$0.10 par value	5,144	\$ <u>(6)</u>	D	Â
Performance Shares	Â <u>(7)</u>	03/10/2020	Common Stock, \$0.10 par value	6,572	\$ <u>(7)</u>	D	Â
Performance Shares	Â <u>(8)</u>	03/10/2021	Common Stock, \$0.10 par value	5,561	\$ <u>(8)</u>	D	Â
Restricted Stock Units	Â <u>(9)</u>	07/01/2018	Common Stock, \$0.10 par value	1,461	\$ <u>(10)</u>	D	Â
Restricted Stock Units	Â <u>(11)</u>	10/02/2021	Common Stock, \$0.10 par value	2,368	\$ <u>(10)</u>	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
	Â	Â	Â SVP, Head of Strategy & BD	Â

Biondi Paul  
BRISTOL-MYERS SQUIBB COMPANY  
345 PARK AVENUE  
NEW YORK, NY 10154

## Signatures

/s/Lisa A. Atkins, attorney-in-fact for Paul  
Biondi

06/22/2018

\_\_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 market share units will vest on March 10, 2019.  
Each market share unit converts into the number of shares of common stock determined by applying a payout factor to the target number of shares vesting on a given date. The payout factor is a ratio of the average of the closing price on the measurement date plus the nine prior trading days divided by the average stock price on the grant date (also a 10-day average). The minimum payout factor that must be achieved to earn a payout is 60% and the maximum payout factor is 200%.
  - (2)
  - (3) One-half of these market share units will vest on each of March 10, 2019 and March 10, 2020.
  - (4) One-third of these market share units will vest on each of March 10, 2019, March 10, 2020, and March 10, 2021.
  - (5) Twenty-five percent of these market share units will vest on each of the first, second, third, and fourth anniversaries of the grant date, starting on March 10, 2019.
  - (6) Each performance share converts into one share of common stock upon distribution in the first quarter of 2019, subject to a Total Shareholder Return modifier.
  - (7) Each performance share converts into one share of common stock upon distribution in the first quarter of 2020.
  - (8) Each performance share converts into one share of common stock upon distribution in the first quarter of 2021.
  - (9) These restricted stock units will vest on July 1, 2018.
  - (10) Each restricted stock unit converts into one share of common stock upon vesting.
  - (11) The restricted stock units vest in three equal annual installments beginning on October 2, 2019.

Â

### Remarks:

EXHIBIT LIST: EX-24 Paul Biondi Power of Attorney

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.