SS&C Technologies Holdings Inc Form 4

March 22, 2017

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

3235-0287

January 31, Expires: 2005

**OMB APPROVAL** 

Estimated average 0.5

burden hours per response...

if no longer subject to Section 16. Form 4 or Form 5 obligations

Check this box

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 may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

Stock

(Print or Type	Responses)											
Etherington William A Sy			Symbol SS&C						5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)			
HOLDING	(First) ( TECHNOLOGII S, INC., 80 FON ROAD	(Month/l	Ionth/Day/Year) —				X Director 10% Owner Officer (give title Other (specify below)					
WINDSOR	(Street)	d(Month/Day/Year) A				6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person						
(City)	(State)	(Zip)	Tah	le I - Non-	Derivative	e Secu		ired, Disposed of,	or Beneficial	ly Owned		
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year) 2A. Deemed Execution Date, if any (Month/Day/Year)			3. 4. Securities Acquired (A) ransaction Disposed of (D) Code (Instr. 3, 4 and 5)				5. Amount of 6. Securities Ownership 1 Beneficially Form: 1 Owned Direct (D) 6 Following or Indirect (Reported (I) Transaction(s) (Instr. 4)		7. Nature of Indirect Beneficial Ownership (Instr. 4)		
Common Stock	03/20/2017			Code V M	Amount 6,000		Price \$ 30.19	(Instr. 3 and 4) 68,500	D			
Common Stock	03/20/2017			S	6,000	D	\$ 36.0615 (1)	62,500	D			
Common Stock	03/20/2017			M	6,000	A	\$ 30.445	68,500	D			
Common	03/20/2017			S	6,000	D	\$	62,500	D			

36.0615

#### Edgar Filing: SS&C Technologies Holdings Inc - Form 4

					<u>(1)</u>	
Common Stock	03/21/2017	M	6,000	A	\$ 11.545 68,500	D
Common Stock	03/21/2017	M	6,000	A	\$ 15.835 74,500	D
Common Stock	03/21/2017	M	6,000	A	\$ 21.385 80,500	D

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)

> 8. I De Sec (In

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. Transactio Code (Instr. 8)	5. Number proof 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
Stock Option (right to buy)	\$ 30.19	03/20/2017		M	6,000	<u>(2)</u>	05/28/2025	Common Stock	6,000
Stock Option (right to buy)	\$ 30.445	03/20/2017		M	6,000	<u>(3)</u>	05/25/2026	Common Stock	6,000
Stock Option (right to buy)	\$ 11.545	03/21/2017		M	6,000	<u>(4)</u>	11/28/2022	Common Stock	6,000
Stock Option (right to buy)	\$ 15.835	03/21/2017		M	6,000	<u>(5)</u>	05/29/2023	Common Stock	6,000
	\$ 21.385	03/21/2017		M	6,000	<u>(6)</u>	05/29/2024		6,000

Stock Common Option Stock (right to

## **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Etherington William A

C/O SS&C TECHNOLOGIES HOLDINGS, INC.

80 LAMBERTON ROAD

**Signatures** 

WINDSOR, CT 06095

buy)

Paul G. Igoe, attorney-in-fact for William A. Etherington

03/22/2017

\*\*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).
- The price reported is the weighted average of the shares sold. The shares were sold at varying prices in the range of \$36.02 to \$36.15. The (1) reporting person undertakes, upon request by the Staff of Securities and Exchange Commission, or a security holder of the issuer, to provide full information regarding the number of shares sold at each separate price.
- (2) The stock option was fully vested as of the date of grant, May 28,2015.
- (3) The stock option was fully vested as of the date of grant, May 25,2016.
- (4) The stock option was fully vested as of the date of grant, November 28,2012.
- (5) The stock option was fully vested as of the date of grant, May 29,2013.
- (6) The stock option was fully vested as of the date of grant, May 29,2014.

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.

Reporting Owners 3