

YUM BRANDS INC

Form 3

January 02, 2015

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

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated 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 Niccol Brian R

(Last) (First) (Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

01/01/2015

3. Issuer Name **and** Ticker or Trading Symbol
YUM BRANDS INC [YUM]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
CEO, Taco Bell6. Individual or Joint/Group
Filing(Check Applicable Line)
☒ Form filed by One Reporting
Person
☐ Form filed by More than One
Reporting Person

1 GLEN BELL WAY

(Street)

IRVINE,Â CAÂ 92618

(City) (State) (Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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

4,969.49

I By 401(k) 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)Date Exercisable Expiration
Date3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)Title Amount or
Number of4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)
or Indirect6. Nature of
Indirect
Beneficial
Ownership
(Instr. 5)

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				Shares		(I) (Instr. 5)	
Phantom Stock	Â (1)	Â (2)	Common Stock	16,512.0928	\$ (3)	D	Â
Phantom Stock	Â (1)	Â (2)	Common Stock	17,165.164	\$ (3)	D	Â
Stock Appreciation Right	05/20/2015	02/05/2020	Common Stock	61,232	\$ 39.64	D	Â
Stock Appreciation Right	02/04/2012(4)	02/04/2021	Common Stock	40,734	\$ 49.3	D	Â
Stock Appreciation Right	02/06/2014(4)	02/06/2023	Common Stock	37,885	\$ 62.93	D	Â
Stock Appreciation Right	02/08/2013(4)	02/08/2022	Common Stock	33,102	\$ 64.44	D	Â
Stock Appreciation Right	05/15/2018	05/15/2023	Common Stock	36,561	\$ 69.92	D	Â
Stock Appreciation Right	02/05/2015(4)	02/05/2024	Common Stock	41,260	\$ 70.54	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Niccol Brian R 1 GLEN BELL WAY IRVINE,Â CAAÂ 92618	Â	Â	Â CEO, Taco Bell	Â

Signatures

/s/ M. Gayle
Hobson, POA

01/02/2015

__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) Payments are made in accordance with elections on file.
- (2) The Program does not have specified expiration dates.
- (3) Conversion occurs on a one-for-one basis.
- (4) Vesting occurs on a quarterly basis beginning one year from grant date.

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.