

YUM BRANDS INC
Form 3
January 02, 2015

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
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 Gibbs David W
(Last) (First) (Middle)

7100 CORPORATE DRIVE
(Street)

PLANO,Â TXÂ 75024
(City) (State) (Zip)

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 Issuer

(Check all applicable)

____ Director ____ 10% Owner
X Officer ____ Other
(give title below) (specify below)
CEO, Pizza Hut

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

6. Individual or Joint/Group Filing(Check Applicable Line)
X Form filed by One Reporting Person
____ 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

14,336

D Â

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)
or Indirect

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

Edgar Filing: YUM BRANDS INC - Form 3

				Shares		(I) (Instr. 5)	
Phantom Stock	Â <u>(1)</u>	Â <u>(2)</u>	Common Stock	3,212.6202	\$ <u>(3)</u>	D	Â
Phantom Stock	Â <u>(1)</u>	Â <u>(2)</u>	Common Stock	238.0343	\$ <u>(3)</u>	D	Â
Phantom Stock	Â <u>(1)</u>	Â <u>(2)</u>	Common Stock	652.64	\$ <u>(3)</u>	D	Â
Phantom Stock	Â <u>(1)</u>	Â <u>(4)</u>	Common Stock	4,068.9024	\$ <u>(3)</u>	D	Â
Phantom Stock	Â <u>(1)</u>	Â <u>(2)</u>	Common Stock	19,068.866	\$ <u>(3)</u>	D	Â
Phantom Stock	Â <u>(1)</u>	Â <u>(2)</u>	Common Stock	8,972.2899	\$ <u>(3)</u>	D	Â
Stock Appreciation Right	01/26/2007 <u>(4)</u>	01/26/2016	Common Stock	26,936	\$ 24.4675	D	Â
Stock Appreciation Right	02/05/2010 <u>(4)</u>	02/05/2019	Common Stock	33,830	\$ 29.29	D	Â
Stock Appreciation Right	02/05/2013	02/05/2019	Common Stock	8,458	\$ 29.29	D	Â
Stock Appreciation Right	01/19/2008 <u>(4)</u>	01/19/2017	Common Stock	21,600	\$ 29.61	D	Â
Stock Appreciation Right	02/05/2011 <u>(4)</u>	02/05/2020	Common Stock	31,555	\$ 32.98	D	Â
Stock Appreciation Right	09/20/2011	09/20/2017	Common Stock	18,631	\$ 34.155	D	Â
Stock Appreciation Right	01/24/2009 <u>(4)</u>	01/24/2018	Common Stock	26,772	\$ 37.3	D	Â
Stock Appreciation Right	05/20/2015	05/20/2020	Common Stock	24,493	\$ 39.64	D	Â
Stock Appreciation Right	02/04/2012 <u>(4)</u>	02/04/2021	Common Stock	30,550	\$ 49.3	D	Â
Stock Appreciation Right	02/06/2014 <u>(4)</u>	02/06/2023	Common Stock	37,885	\$ 62.93	D	Â
Stock Appreciation Right	02/06/2017	02/06/2023	Common Stock	37,885	\$ 62.93	D	Â
Stock Appreciation Right	02/08/2013 <u>(4)</u>	02/08/2022	Common Stock	24,827	\$ 64.44	D	Â
Stock Appreciation Right	02/05/2015 <u>(4)</u>	02/05/2024	Common Stock	41,260	\$ 70.54	D	Â
	02/05/2019	02/05/2024		34,384	\$ 70.54	D	Â

Stock Appreciation
Right

Common
Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Gibbs David W 7100 CORPORATE DRIVE PLANO, TX 75024	Â	Â	Â CEO, Pizza Hut	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.