**Broker Neel** Form 3 January 11, 2018

### FORM 3

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

**OMB APPROVAL** 

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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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement LAUREATE EDUCATION, INC. [LAUR] Broker Neel (Month/Day/Year) 01/01/2018 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 650 S. EXETER (Check all applicable) STREET, 12TH FLOOR (Street) 6. Individual or Joint/Group 10% Owner Director \_X\_\_ Officer \_Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting CEO EMEAA Person BALTIMORE, Â MDÂ 21202 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Class A Common Stock 874 D Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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.

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)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of	5. Ownership Form of Derivative	6. Nature of Indirect Beneficial Ownership
		(Instr. 4)	Price of	Derivative	(Instr. 5)
		Title	Derivative Security	Security: Direct (D)	

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Class B Common Stock	(1)	(1)	Class A Common Stock	1,846	\$ <u>(1)</u>	D	Â
Performance Share Units	(2)	(2)	Class A Common Stock	20,000	\$ <u>(2)</u>	D	Â
Restricted Stock Units	06/17/2018	(3)	Class B Common Stock	8,928	\$ <u>(3)</u>	D	Â
Restricted Stock Units	(4)	(4)	Class B Common Stock	2,897	\$ <u>(4)</u>	D	Â
Employee Stock Option (Right to Buy)	(5)	06/01/2021	Class B Common Stock	90,000	\$ 27.04	D	Â
Employee Stock Option (Right to Buy)	(5)	10/02/2023	Class B Common Stock	6,897	\$ 17.44	D	Â
Employee Stock Option (Right to Buy)	(5)	05/14/2025	Class B Common Stock	9,196	\$ 17.44	D	Â

# **Reporting Owners**

\*\*Signature of Reporting Person

Reporting Owner Name / Address	Relationships					
1 0	Director	10% Owner	Officer	Other		
Broker Neel						
650 S. EXETER STREET	â	Â	CEO EMEAA	â		
12TH FLOOR	А	A	A CEO EMEAA	A		
BALTIMORE, MD 21202						

# **Signatures**

/s/ Sean P. Mulcahy, Attorney-in-Fact 01/11/2018

# **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).
- Each share of Class B Common Stock of Laureate Education, Inc. (the "Company") is convertible into one share of Class A Common (1) Stock of the Company upon the election of the holder or upon transfer, subject to the terms of the Company's Amended and Restated Certificate of Incorporation.

Reporting Owners 2

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- Subject to the reporting person's continued employment by the Company, Performance Share Units (PSUs) will vest in one-third annual tranches on each of December 31, 2018, December 31, 2019, and December 31, 2020, provided that the average closing price per share of the Company's Class A Common Stock as reported on the NASDAQ Global Select Market over the thirty (30) day period preceding those
- (2) dates is equal to or greater than (i) \$20 for those PSUs vesting on December 31, 2018, (ii) \$22.50 for those PSUs vesting on December 31, 2019, and (iii) \$25 for those PSUs vesting on December 31, 2020. Should the thirty day trailing average fall short of these targets for either December 31, 2018, December 31, 2019, or both, the PSUs for the year(s) in which the target is missed may vest if the trailing average target is achieved in the succeeding year.
- On the vesting date, the reporting person will be issued a corresponding number of shares of Class B Common Stock. Subject to the reporting person's continued employment, all of these RSUs will vest on June 17, 2018.
- Each Restricted Stock Unit the right to receive one share of Class B Common Stock. On the vesting date, the reporting person will be issued a corresponding number of shares of Class B Common Stock. Subject to the reporting person's continued employment, (A) half (1/2) of these RSUs will vest on December 31, 2018, and (B) half (1/2) of these RSUs will vest on December 31, 2019.
- (5) These options are fully vested and exercisable immediately.

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.