

EASTMAN KODAK CO
Form 4
September 07, 2016

FORM 4

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

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN 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 *
Bullwinkle David E

(Last) (First) (Middle)

EASTMAN KODAK
COMPANY, 343 STATE STREET

(Street)

ROCHESTER, NY 14650

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
EASTMAN KODAK CO [KODK]

3. Date of Earliest Transaction
(Month/Day/Year)
09/03/2016

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
CFO and Senior Vice President

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

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock, par value \$.01	09/03/2016		M	2,509	A \$ 0 ⁽¹⁾	9,862	D
Common Stock, par value \$.01	09/03/2016		F	928 ⁽²⁾	D \$ 15.58	8,934	D
Common Stock, par value \$.01	09/03/2016		M	641	A \$ 0 ⁽³⁾	9,575	D
Common Stock, par	09/03/2016		F	237 ⁽²⁾	D \$ 15.58	9,338	D

value \$.01

Common Stock, par value \$.01	09/03/2016	M	1,109	A	\$ 0 ⁽⁵⁾	10,447	D
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Common Stock, par value \$.01	09/03/2016	F	410 ⁽²⁾	D	\$ 15.58	10,037	D
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(9-02)

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. Transaction Code (Instr. 8)	5. Number of 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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	
Restricted Stock Units	\$ 0 ⁽¹⁾	09/03/2016		M	2,509	09/03/2016	09/03/2016	Common Stock, par value \$01	2,509
Restricted Stock Units	\$ 0 ⁽³⁾	09/03/2016		M	641	⁽³⁾	09/03/2017	Common Stock, par value \$01	641
Restricted Stock Units	\$ 0 ⁽⁴⁾					⁽⁴⁾	12/15/2017	Common Stock, par value \$01	1,292
Restricted Stock Units	\$ 0 ⁽⁵⁾	09/03/2016		M	1,109	⁽⁵⁾	09/03/2018	Common Stock, par value \$01	1,109
Restricted Stock Units	\$ 0 ⁽⁶⁾					⁽⁶⁾	07/01/2019	Common Stock, par value \$.01	18,473 ⁽⁶⁾
Stock Option	\$ 23.78					⁽⁷⁾	09/03/2021	Common Stock, par	5,805 ⁽⁷⁾

(Right to Buy)				value	
				\$.01	
Stock Option (Right to Buy)	\$ 20.25	(8)	12/15/2021	Common Stock, par value	5,349 (8)
				\$.01	
Stock Option (Right to Buy)	\$ 13.76	(9)	09/03/2022	Common Stock, par value	7,965 (9)
				\$.01	
Stock Option (Right to Buy)	\$ 16.24	(10)	07/01/2023	Common Stock, par value	45,942 (10)
				\$.01	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bullwinkle David E EASTMAN KODAK COMPANY 343 STATE STREET ROCHESTER, NY 14650			CFO and Senior Vice President	

Signatures

/s/ Sharon E. Underberg, Attorney-in-fact for David E. Bullwinkle

09/07/2016

__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).
- (1) These restricted stock units convert into common stock on a one-for-one basis.
- (2) Shares withheld to cover tax withholding obligations on the vesting of restricted stock units.
- (3) These restricted stock units, which convert into common stock on a one-for-one basis, vest one-third on each of the first three anniversaries of the 9/3/14 grant date.
- (4) These restricted stock units, which convert into common stock on a one-for-one basis, vest one-third on each of the first three anniversaries of the 12/15/14 grant date.
- (5) These restricted stock units, which convert into common stock on a one-for-one basis, vest one-third on each of the first three anniversaries of the 9/3/15 grant date.
- (6) These restricted stock units, which convert into common stock on a one-to-one basis, vest one-third on each of the first three anniversaries of the 7/1/2016 grant date.
- (7) This option vests one-third on each of the first three anniversaries of the 9/3/14 grant date.
- (8) This option vests one-third on each of the first three anniversaries of the 12/15/14 grant date.
- (9) This option vests one-third on each of the first three anniversaries of the 9/3/15 grant date.

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(10) This option vests one-third on each of the first three anniversaries of the 7/1/16 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.

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