People's United Financial, Inc.

Form 3

April 09, 2014

#### FORM 3

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

OMB APPROVAL

OMB Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

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 People's United Financial, Inc. [PBCT] A Longobardi Sara M (Month/Day/Year) 04/01/2014 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O PEOPLE'S UNITED (Check all applicable) BANK, 850 MAIN STREET (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 Sr Executive Vice President Person BRIDGEPORT, Â CTÂ 06604 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 Common Stock 61,816 (1) D Common Stock 776 (2) D Â Common Stock  $1.679^{(3)}$ D Â Common Stock  $2,248 \frac{(3)}{}$ D Â Common Stock  $3.102^{(4)}$ 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

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

required to respond unless the form displays a

currently valid OMB control number.

#### Edgar Filing: People's United Financial, Inc. - Form 3

1. Title of Derivative Security (Instr. 4)		Date Exercisable and xpiration Date fonth/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		5. Ownership Form of Derivative Security:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Option to Buy	(5)	02/17/2015	Common Stock	6,678	\$ 12.0223	D	Â
Employee Option to Buy	(5)	02/16/2016	Common stock	4,410	\$ 14.9119	D	Â
Employee Option to Buy	(5)	02/15/2017	Common Stock	2,163	\$ 21.6308	D	Â
Employee Option to Buy	(5)	10/25/2017	Common Stock	43,450	\$ 18.1	D	Â
Employee Option to Buy	(5)	02/21/2018	Common Stock	3,218	\$ 16.94	D	Â
Employee Option to Buy	(5)	01/22/2019	Common Stock	4,586	\$ 16.575	D	Â
Employee Option to Buy	(5)	01/28/2020	Common Stock	4,633	\$ 15.8	D	Â
Employee Option to Buy	(6)	02/17/2021	Common Stock	7,880	\$ 13.415	D	Â
Employee Option to Buy	(6)	02/16/2022	Common Stock	9,659	\$ 12.65	D	Â
Employee Option to Buy	(7)	02/21/2023	Common Stock	18,873	\$ 12.94	D	Â
Employee Option to Buy	(7)	02/20/2024	Common Stock	27,593	\$ 13.9025	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
Reporting 6 wher Funder Frances	Director	10% Owner	Officer	Other			
Longobardi Sara M C/O PEOPLE'S UNITED BANK 850 MAIN STREET BRIDGEPORT, CT 06604	Â	Â	Sr Executive Vice President	Â			

### **Signatures**

/s/ Sara M. 04/09/2014 Longobardi

Date

Reporting Owners 2

\*\*Signature of Reporting Person

#### **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) Includes 52,589 shares owned indirectly through the Peoples United Bank 401(k) Plan and 3,318 shares owned indirectly through the Peoples United Financial, Inc. Employee Stock Ownership Plan. Information is based on 03/31/2014 Plan statements.
- (2) These are restricted shares that vest on Mar. 1, 2015.
- (3) These are restricted shares that vest in equal annual increments on Mar. 1, 2015 and Mar. 1, 2016.
- (4) These are restricted shares that vest in equal annual increments on Mar. 1, 2015, Mar. 1, 2016 and Mar. 1, 2017.
- (5) These options have become exercisable in accordance with the terms of the applicable option grants.
- (6) Exercisable in annual increments beginning on Mar. 1 immediately following the 2nd anniversary (50%), 3rd anniversary (25%) and 4th anniversary (25%) of the grant date, which is ten years prior to the applicable expiration date.
- (7) Exercisable in equal annual increments over three years beginning on Mar. 1 immediately following the 1st anniversary of the grant date, which is ten years prior to the applicable expiration 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.

Signatures 3