

McCarthy Barry C
Form 4
November 08, 2018

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 *
McCarthy Barry C

2. Issuer Name and Ticker or Trading Symbol
FIRST DATA CORP [FDC]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

___ Director ___ 10% Owner
X Officer (give title below) ___ Other (specify below)

C/O FIRST DATA CORPORATION, 225 LIBERTY STREET, 29TH FLOOR

11/06/2018

See remarks

(Street)

4. 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

NEW YORK, NY 10281

(City) (State) (Zip)

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 Indirect Beneficial Ownership (Instr. 4)	
				(A) or (D)	Price			
				Code	V	Amount		
Class A Common Stock ⁽¹⁾	11/06/2018		C	35,000	A	\$ 0	368,571	D
Class A Common Stock	11/06/2018		S	35,000	D	\$ 18.6885 ⁽²⁾	333,571	D
Class A Common Stock ⁽¹⁾	11/07/2018		C	23,219	A	\$ 0	356,790	D
Class A Common Stock	11/07/2018		M	16,781	A	\$ 16	373,571	D

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Common Stock							
Class A Common Stock	11/07/2018	S	40,000	D	\$ 19.4333 (3)	333,571	D
Class A Common Stock	11/08/2018	M	28,933	A	\$ 12.52	362,504	D
Class A Common Stock	11/08/2018	M	9,582	A	\$ 16	372,086	D
Class A Common Stock	11/08/2018	S	38,515	D	\$ 19.2152 (4)	333,571	D

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 Security (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Stock Options (right to buy)	\$ 12.65	11/06/2018		M	21,750	(5) 02/10/2024	Class B Common Stock (6) 21,750
Stock Options (right to buy)	\$ 14.23	11/06/2018		M	13,250	(5) 01/14/2025	Class B Common Stock (6) 13,250
Class B Common Stock	(6)	11/06/2018		M	21,750	(6) (6)	Class A Common Stock 21,750
Class B Common	(6)	11/06/2018		M	13,250	(6) (6)	Class A Common 13,250

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Stock								Stock	
Class B Common Stock	(6)	11/06/2018	C	35,000	(6)	(6)		Class A Common Stock	35,000
Stock Options (right to buy)	\$ 14.23	11/07/2018	M	23,219	(5)	01/14/2025		Class B Common Stock (6)	23,219
Class B Common Stock	(6)	11/07/2018	M	23,219	(6)	(6)		Class A Common Stock	23,219
Class B Common Stock	(6)	11/07/2018	C	23,219	(6)	(6)		Class A Common Stock	23,219
Stock Options (right to buy)	\$ 16	11/07/2018	M	16,781	(5)	10/14/2025		Class A Common Stock	16,781
Stock Options (right to buy)	\$ 16	11/08/2018	M	9,582	(5)	10/14/2025		Class A Common Stock	9,582
Stock Option (right to buy)	\$ 12.52	11/08/2018	M	28,933	(5)	02/24/2026		Class A Common Stock	28,933

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
McCarthy Barry C C/O FIRST DATA CORPORATION 225 LIBERTY STREET, 29TH FLOOR NEW YORK, NY 10281				See remarks

Signatures

/s/ Gretchen A. Herron, by power of attorney
Date: 11/08/2018

__Signature of Reporting Person

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).

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- (1) Each share of Class A common stock was issued upon the conversion of one share of Class B common stock.
The price represents the weighted average purchase price for multiple transactions reported on this line. The prices of the transactions
- (2) ranged from \$18.59 to \$18.76, inclusive. Upon request of the SEC staff, First Data Corporation (FDC), or a security holder of FDC, the reporting person will provide full information regarding the number of shares purchased at each separate price.
The price represents the weighted average purchase price for multiple transactions reported on this line. The prices of the transactions
- (3) ranged from \$18.98 to \$19.63, inclusive. Upon request of the SEC staff, FDC, or a security holder of FDC, the reporting person will provide full information regarding the number of shares purchased at each separate price.
The price represents the weighted average purchase price for multiple transactions reported on this line. The prices of the transactions
- (4) ranged from \$19.105 to \$19.52, inclusive. Upon request of the SEC staff, FDC, or a security holder of FDC, the reporting person will provide full information regarding the number of shares purchased at each separate price.
- (5) These stock options are fully vested and exercisable.
- (6) Shares of Class B common stock are convertible into shares of Class A common stock on a one-for-one basis at any time at the option of the holder with the prior written consent of the issuer, automatically upon transfer, with certain exceptions, and upon certain other events.

Remarks:

Executive Vice President

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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