## Edgar Filing: TELEPHONE & DATA SYSTEMS INC /DE/ - Form 5/A

**TELEPHONE & DATA SYSTEMS INC /DE/** 

Form 5/A February 14, 2017 OMB APPROVAL FORM 5 OMB UNITED STATES SECURITIES AND EXCHANGE COMMISSION 3235-0362 Number: Washington, D.C. 20549 Check this box if January 31, Expires: no longer subject 2005 to Section 16. Estimated average ANNUAL STATEMENT OF CHANGES IN BENEFICIAL Form 4 or Form burden hours per 5 obligations **OWNERSHIP OF SECURITIES** response... 1.0 may continue. See Instruction Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, 1(b). Form 3 Holdings Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Reported 30(h) of the Investment Company Act of 1940 Form 4 Transactions Reported 1. Name and Address of Reporting Person \* 2. Issuer Name and Ticker or Trading 5. Relationship of Reporting Person(s) to Issuer Shuma Douglas D Symbol **TELEPHONE & DATA SYSTEMS** (Check all applicable) INC /DE/ [TDS] (Middle) 3. Statement for Issuer's Fiscal Year Ended (Last) (First) Director 10% Owner Other (specify Х \_ Officer (give title (Month/Day/Year) below) below) 12/31/2016 SVP - Finance and CAO 8401 GREENWAY BLVD. (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Reporting Filed(Month/Day/Year) (check applicable line) 01/17/2017 MIDDLETON, WIÂ 53562 \_X\_ Form Filed by One Reporting Person Form Filed by More than One Reporting Person (State) (City) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction Acquired (A) or Securities Form: Direct Indirect (Instr. 3) Code Disposed of (D) Beneficially (D) or Beneficial any (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned at end Indirect (I) Ownership of Issuer's (Instr. 4) (Instr. 4) (A) Fiscal Year or (Instr. 3 and 4) (D) Price Amount Common Â Â Â Â Â Â Â 3,603 (6) D Shares Persons who respond to the collection of information Reminder: Report on a separate line for each class of SEC 2270 (9-02)

securities beneficially owned directly or indirectly.

contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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

|   | · ·   | ·                                       |   |   |     |  |  |                    |   |                                 |
|---|---|---|---|---|-----|--|--|--------------------|---|---------------------------------|
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) |     | vative<br>rities<br>uired<br>or<br>osed<br>))<br>r. 3, | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |                                 |
|   |   |   |   |   | (A) | (D)  | Date<br>Exercisable  | Expiration<br>Date | Title   | Amour<br>or<br>Numbe<br>of Shar |
| Option (Right to buy)                               | \$ 35.35  | Â                                       | Â   | Â                                       | Â   | Â  | (1)  | 05/21/2018         | Common<br>Shares  | 15,30                           |
| Option (Right to buy)                               | \$ 29.94  | Â                                       | Â   | Â                                       | Â   | Â  | (2)  | 05/13/2021         | Common<br>Shares  | 21,50                           |
| Option (Right to buy)                               | \$ 26.83  | Â                                       | Â   | Â                                       | Â   | Â  | (5)  | 05/16/2024         | Common<br>Shares  | 25,41                           |
| Option (Right to buy)                               | \$ 29.26  | Â                                       | Â   | Â                                       | Â   | Â  | (5)  | 05/11/2025         | Common<br>Shares  | 31,35                           |
| Option (Right to buy)                               | \$ 29.45  | Â                                       | Â   | Â                                       | Â   | Â  | (5)  | 08/15/2026         | Common<br>Shares  | 8,43                            |
| Restricted<br>Stock Units                           | Â   | Â                                       | Â   | Â                                       | Â   | Â  | (4)  | 05/16/2017         | Common<br>Shares  | 5,63                            |
| Restricted<br>Stock Units                           | Â   | Â                                       | Â   | Â                                       | Â   | Â  | (4)  | 05/11/2018         | Common<br>Shares  | 6,992                           |
| Restricted<br>Stock Units                           | Â   | Â                                       | Â   | Â                                       | Â   | Â  | (4)  | 05/11/2019         | Common<br>Shares  | 11,75                           |
| Deferred<br>Compensation                            | Â   | Â                                       | Â   | Â                                       | Â   | Â  | (3)  | ( <u>3)</u>        | Common<br>Shares  | 6,024                           |

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## **Reporting Owners**

| <b>Reporting Owner Name / Address</b>                         | Relationships |            |                       |       |  |  |  |
|---|---------------|------------|-----------------------|-------|--|--|--|
|   | Director      | 10% Owner  | Officer               | Other |  |  |  |
| Shuma Douglas D<br>8401 GREENWAY BLVD.<br>MIDDLETON, WI 53562 | Â             | Â          | SVP - Finance and CAO | Â     |  |  |  |
| Signatures  |               |            |                       |       |  |  |  |
| Julie D. Mathews, by power of atty                            |               | 02/14/2017 |                       |       |  |  |  |

Date

<u>\*\*</u>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).
- (1) Granted under the 2004 Long Term Incentive Plan. Options vest over a 3 year period with one-third of the number of shares becoming exercisable on Aug. 26, 2009, one-third becoming exercisable on Aug. 26, 2010 and one-third becoming exercisable on Aug. 26, 2011.
- (2) Granted under the 2004 Long Term Incentive Plan. Options vest over a 3 year period with one-third of the number of shares becoming exercisable on the first anniversary, one-third on the second annual anniversary and one-third on the third annual anniversary.
- (3) Reporting person deferred performance bonuses pursuant to the Long Term Incentive Plans. At Dec. 31, 2016, a total of 6,024 were vested.
- (4) Restricted stock units pursuant to the 2011 Long Term Incentive Plan. Stock units will become vested on the third annual anniversary.
- (5) Stock options granted pursuant to the 2011 Long Term Incentive Plan. Options become exercisable on the third annual anniversary.
- (6) Includes 37 shares acquired through dividend reinvestment

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.