

PRICE T ROWE GROUP INC
Form 3
January 04, 2017

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 Person *

Â Robert W. Sharps

(Last) (First) (Middle)

100 E. PRATT STREET

(Street)

BALTIMORE,Â MDÂ 21202

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

01/01/2017

3. Issuer Name **and** Ticker or Trading Symbol
PRICE T ROWE GROUP INC [TROW]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
Vice President

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

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 Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities Beneficially Owned
(Instr. 4)

3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

304,009.0301

D Â

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

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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)

Date Exercisable Expiration Date

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

Title Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)
or Indirect

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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				Shares		(I) (Instr. 5)	
Stock Options (Right to Buy)	09/04/2009 ⁽¹⁾	09/04/2018	Common Stock	31,803	\$ 54.8329	D	Â
Stock Options (Right to Buy)	11/01/2010 ⁽²⁾	09/10/2019	Common Stock	25,000	\$ 43.3725	D	Â
Stock Options (Right to Buy)	11/01/2011 ⁽³⁾	02/18/2020	Common Stock	39,539	\$ 47.6474	D	Â
Stock Options (Right to Buy)	11/01/2011 ⁽⁴⁾	09/08/2020	Common Stock	41,639	\$ 45.7933	D	Â
Stock Options (Right to Buy)	11/01/2012 ⁽⁵⁾	02/17/2021	Common Stock	41,638	\$ 67.5613	D	Â
Stock Options (Right to Buy)	11/01/2012 ⁽⁶⁾	09/08/2021	Common Stock	41,639	\$ 48.56	D	Â
Stock Options (Right to Buy)	12/10/2013 ⁽⁷⁾	02/23/2022	Common Stock	20,818	\$ 59.0693	D	Â
Stock Options (Right to Buy)	12/10/2013 ⁽⁸⁾	09/06/2022	Common Stock	20,819	\$ 60.7984	D	Â
Stock Options (Right to Buy)	12/10/2014 ⁽⁹⁾	02/21/2023	Common Stock	20,498	\$ 69.6708	D	Â
Stock Options (Right to Buy)	12/10/2014 ⁽¹⁰⁾	09/10/2023	Common Stock	20,499	\$ 70.2854	D	Â
Stock Options (Right to Buy)	12/10/2015 ⁽¹¹⁾	02/19/2024	Common Stock	20,499	\$ 77.9443	D	Â
Stock Options (Right to Buy)	12/10/2015 ⁽¹²⁾	09/09/2024	Common Stock	20,499	\$ 78.4418	D	Â
Stock Options (Right to Buy)	12/09/2016 ⁽¹³⁾	02/19/2025	Common Stock	30,748	\$ 80.9492	D	Â
Stock Options (Right to Buy)	12/09/2016 ⁽¹⁴⁾	09/10/2025	Common Stock	30,000	\$ 70.92	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Robert W. Sharps 100 E. PRATT STREET BALTIMORE, MD 21202	Â	Â	Â Vice President	Â

Signatures

/s/ Robert W. Sharps
01/04/2017

__Signature of
Reporting Person

Date

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) 09/04/2008 Grant - The option vests 20% annually over a 5 year period beginning on 09/04/2009.
 - (2) 09/10/2009 Grant - The option vests 20% annually over a 5 year period beginning on 11/01/2010.
 - (3) 02/18/2010 Grant - The option vests 20% annually over a 5 year period beginning on 11/01/2011.
 - (4) 09/08/2010 Grant - The option vests 20% annually over a 5 year period beginning on 11/01/2011.
 - (5) 02/17/2011 Grant - The option vests 20% annually over a 5 year period beginning on 11/01/2012.
 - (6) 09/08/2011 Grant - The option vests 20% annually over a 5 year period beginning on 11/01/2012.
 - (7) 02/23/2012 Grant - The option vests 20% annually over a 5 year period beginning on 12/10/2013.
 - (8) 09/06/2012 Grant - The option vests 20% annually over a 5 year period beginning on 12/10/2013.
 - (9) 02/21/2013 Grant - The option vests 20% annually over a 5 year period beginning on 12/10/2014.
 - (10) 09/10/2013 Grant - The option vests 20% annually over a 5 year period beginning on 12/10/2014.
 - (11) 02/19/2014 Grant - The option vests 20% annually over a 5 year period beginning on 12/10/2015.
 - (12) 09/09/2014 Grant - The option vests 20% annually over a 5 year period beginning on 12/10/2015.
 - (13) 02/19/2015 Grant - The option vests 20% annually over a 5 year period beginning on 12/09/2016.
 - (14) 09/10/2015 Grant - The option vests 20% annually over a 5 year period beginning on 12/09/2016.

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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