

People's United Financial, Inc.
Form 3
April 17, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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

OMB
Number: 3235-0104
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting
Person *

Â Rosato R David

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

04/16/2014

3. Issuer Name **and** Ticker or Trading Symbol
People's United Financial, Inc. [PBCT]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer ____ Other
(give title below) (specify below)
Senior Exec Vice President

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

C/O PEOPLE'S UNITED
BANK,Â 850 MAIN STREET

(Street)

BRIDGEPORT,Â CTÂ 06604

(City)

(State)

(Zip)

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

36,412 ⁽¹⁾

D

Â

Common Stock

2,680 ⁽²⁾

D

Â

Common Stock

1,224 ⁽³⁾

D

Â

Common Stock

2,664 ⁽⁴⁾

D

Â

Common Stock

3,480 ⁽⁴⁾

D

Â

Common Stock

4,874 ⁽⁵⁾

D

Â

Common Stock

355

I

IRA fb/o Dana Rosato

Common Stock

120

I

IRA fb/o Kevin Rosato

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

SEC 1473 (7-02)

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Employee Option to Buy	Â (6)	12/12/2017	Common Stock	43,830	\$ 16.805	D	Â
Employee Option to Buy	Â (6)	02/21/2018	Common Stock	6,040	\$ 16.94	D	Â
Employee Option to Buy	Â (6)	01/22/2019	Common Stock	8,565	\$ 16.575	D	Â
Employee Option to Buy	Â (7)	07/16/2009	Common Stock	39,250	\$ 15.62	D	Â
Employee Option to Buy	Â (6)	01/28/2020	Common Stock	8,427	\$ 15.8	D	Â
Employee Option to Buy	Â (8)	02/17/2021	Common Stock	12,432	\$ 13.415	D	Â
Employee Option to Buy	Â (8)	02/16/2022	Common Stock	15,209	\$ 12.65	D	Â
Employee Option to Buy	Â (9)	02/21/2023	Common Stock	29,218	\$ 12.94	D	Â
Employee Option to Buy	Â (9)	02/20/2024	Common Stock	43,359	\$ 13.9025	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
Rosato R David C/O PEOPLE'S UNITED BANK 850 MAIN STREET BRIDGEPORT,Â CTÂ 06604	Â	Â	Â Senior Exec Vice President		Â

Signatures

/s/ R. David
Rosato

04/17/2014

 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) Includes 1,936 shares owned indirectly through the Peoples United Financial, Inc. Employee Stock Ownership Plan. Information is based on 03/31/2014 Plan statement.
- (2) These are restricted shares that vest on Jul. 16, 2014
- (3) These are restricted shares that vest on Mar. 1, 2015.
- (4) These are restricted shares that vest in equal annual increments on Mar. 1, 2015 and Mar. 1, 2016.
- (5) These are restricted shares that vest in equal annual increments on Mar. 1, 2015, Mar. 1, 2016 and Mar. 1, 2017.
- (6) These options have become exercisable in accordance with the terms of the applicable option grants.
- (7) Exercisable in equal annual increments over five years beginning on the 1st anniversary of the grant date, which is ten years prior to the applicable expiration date.
- (8) 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.
- (9) 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.