

EMC CORP
Form 4
September 08, 2016

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 *
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2. Issuer Name and Ticker or Trading Symbol
EMC CORP [EMC]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

EMC CORPORATION, 176 SOUTH STREET

3. Date of Earliest Transaction (Month/Day/Year)
09/06/2016

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)

EVP & General Counsel

(Street)

4. 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

HOPKINTON, MA 01748

(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 Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock	09/06/2016		M		26,000 (1)	A	\$ 19.11 480,699 D
Common Stock	09/06/2016		F		21,378 (2)	D	\$ 28.77 459,321 D
Common Stock	09/06/2016		M		38,169 (1)	A	\$ 19.11 497,490 D
Common Stock	09/06/2016		F		31,383 (2)	D	\$ 28.77 466,107 D
Common Stock	09/06/2016		M		28,000 (1)	A	\$ 15.18 494,107 D

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Common Stock	09/06/2016	F	20,997 (2)	D	\$ 28.77	473,110	D	
Common Stock	09/06/2016	M	24,000 (1)	A	\$ 15.31	497,110	D	
Common Stock	09/06/2016	F	18,055 (2)	D	\$ 28.77	479,055	D	
Common Stock	09/06/2016	M	36,000 (1)	A	\$ 15.31	515,055	D	
Common Stock	09/06/2016	F	27,082 (2)	D	\$ 28.77	487,973	D	
Common Stock	09/06/2016	M	19,873 (1)	A	\$ 20.47	507,846	D	
Common Stock	09/06/2016	F	16,838 (2)	D	\$ 28.77	491,008	D	
Common Stock	09/06/2016	M	29,809 (1)	A	\$ 20.47	520,817	D	
Common Stock	09/06/2016	F	25,256 (2)	D	\$ 28.77	495,561	D	
Common Stock	09/06/2016	M	15,977 (1)	A	\$ 25.04	511,538	D	
Common Stock	09/06/2016	F	14,881 (2)	D	\$ 28.77	496,657	D	
Common Stock	09/06/2016	M	22,967 (1)	A	\$ 25.04	519,624	D	
Common Stock	09/06/2016	F	21,391 (2)	D	\$ 28.77	498,233	D	
Common Stock	09/06/2016	M	23,236 (1)	A	\$ 26.8	521,469	D	
Common Stock	09/06/2016	F	22,394 (2)	D	\$ 28.77	499,075	D	
Common Stock	09/06/2016	M	17,640 (1)	A	\$ 26.8	516,715	D	
Common Stock	09/06/2016	F	17,001 (2)	D	\$ 28.77	499,714	D	
Common Stock	09/06/2016	F	121,240 (3)	D	\$ 0	378,474	D	
Common Stock	09/07/2016	D	378,474	D	\$ 0 ⁽⁴⁾	0	D	
Common Stock	09/07/2016	D	24,000	D	\$ 0 ⁽⁴⁾	0	I	By Spouse

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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)	Amount or Number of Shares
Stock Option Right To Buy	\$ 19.11	09/06/2016		M	26,000	11/28/2008 ⁽⁵⁾ 11/28/2017	Common Stock	26,000
Stock Option Right To Buy	\$ 19.11	09/06/2016		M	38,169	11/28/2008 ⁽⁵⁾ 11/28/2017	Common Stock	38,169
Stock Option Right To Buy	\$ 15.18	09/06/2016		M	28,000	08/20/2009 ⁽⁵⁾ 08/20/2018	Common Stock	28,000
Stock Option Right To Buy	\$ 15.31	09/06/2016		M	24,000	08/04/2010 ⁽⁵⁾ 08/04/2019	Common Stock	24,000
Stock Option Right To Buy	\$ 15.31	09/06/2016		M	36,000	08/04/2010 ⁽⁵⁾ 08/04/2019	Common Stock	36,000
Stock Option Right To Buy	\$ 20.47	09/06/2016		M	19,873	08/03/2011 ⁽⁵⁾ 08/03/2020	Common Stock	19,873
Stock Option Right To Buy	\$ 20.47	09/06/2016		M	29,809	08/03/2011 ⁽⁵⁾ 08/03/2020	Common Stock	29,809

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- (6) In connection with the Merger, 5,809 of these stock options were accelerated and became fully vested and exercisable on August 17, 2016.
- (7) In connection with the Merger, 3,528 of these stock options were accelerated and became fully vested and exercisable on August 17, 2016.

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