

NCR CORP
Form 3
May 05, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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

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 Marquardt Frederick

(Last) (First) (Middle)

2651 SATELLITE BLVD.

(Street)

DULUTH,Â GAÂ 30096-5810

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

04/23/2014

3. Issuer Name **and** Ticker or Trading Symbol
NCR CORP [NCR]

4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
EVP Svs, Hdwre Sol, Entp Qual

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	36,544	D	Â
Common Stock	6,075 ⁽¹⁾	D	Â
Common Stock	5,784 ⁽²⁾	D	Â
Common Stock	5,130 ⁽³⁾	D	Â
Common Stock	4,862 ⁽⁴⁾	D	Â

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

SEC 1473 (7-02)

**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)

Edgar Filing: NCR CORP - Form 3

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 Stock Options (right to buy)	10/01/2008 ⁽⁵⁾	09/30/2017	Common Stock	3,905	\$ 23.93	D	Â
Employee Stock Options (right to buy)	03/01/2009 ⁽⁵⁾	02/28/2018	Common Stock	14,096	\$ 22.16	D	Â
Employee Stock Options (right to buy)	02/23/2011 ⁽⁵⁾	02/22/2020	Common Stock	2,311	\$ 12.81	D	Â
Restricted Stock Units	Â ⁽⁶⁾	Â ⁽⁶⁾	Common Stock	22,177	\$ 0	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Marquardt Frederick 2651 SATELLITE BLVD. DULUTH, GA 30096-5810	Â	Â	Â EVP Svs, Hdwre Sol, Entp Qual	Â

Signatures

Jennifer M. Daniels as Attorney-in-Fact for Frederick Marquardt

05/05/2014

__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) These are time-based restricted stock units granted on January 1, 2012 that will vest on January 1, 2015, subject to the reporting person's continued employment with the issuer on that date and in accordance with the terms and conditions of the applicable award agreement.
- (2) These are time-based restricted stock units granted on February 28, 2012 that will vest on February 28, 2015, subject to the reporting person's continued employment with the issuer on that date and in accordance with the terms and conditions of the applicable award agreement.
- (3) These are time-based restricted stock units granted on February 25, 2013 that will vest on February 25, 2016, subject to the reporting person's continued employment with the issuer on that date and in accordance with the terms and conditions of the applicable award agreement.
- (4) These are time-based restricted stock units granted on February 24, 2014 that will vest on February 24, 2017, subject to the reporting person's continued employment with the issuer on that date and in accordance with the terms and conditions of the applicable award agreement.
- (5) These options are fully vested.

Edgar Filing: NCR CORP - Form 3

- (6) These are restricted stock units as to which certain performance-related conditions to vesting have been satisfied. The units will vest 50% on February 28, 2015 and 50% on October 28, 2015, subject to the reporting person's continued employment with the issuer on these dates and in accordance with the terms and conditions of the applicable award agreement.

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.