United Continental Holdings, Inc.

Form 4 June 16, 2017

# FORM 4

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

Check this box

if no longer subject to Section 16.

Form 4 or Form 5 obligations

may continue. See Instruction 1(b).

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 \* Hart Brett J

(Last)

(City)

1. Title of

Security

(Instr. 3)

(First) (Middle)

(State)

(Month/Day/Year)

P. O. BOX 66100 HDQLD

(Street)

CHICAGO, IL 60666

2. Issuer Name and Ticker or Trading

Symbol

United Continental Holdings, Inc. [UAL]

3. Date of Earliest Transaction

(Month/Day/Year) 06/14/2017

4. If Amendment, Date Original

Filed(Month/Day/Year)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Execution Date, if TransactionAcquired (A) or Code (Month/Day/Year) (Instr. 8)

3.

Disposed of (D) (Instr. 3, 4 and 5)

4. Securities

(A)

Code V Amount (D) Price

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. 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 Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Conversion Security

or Exercise

3. Transaction Date 3A. Deemed (Month/Day/Year)

(Zip)

2. Transaction Date 2A. Deemed

Execution Date, if any

4. 5. Number of **Transaction**Derivative Code Securities

6. Date Exercisable and **Expiration Date** (Month/Day/Year)

7. Title and Amount of **Underlying Securities** (Instr. 3 and 4)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

5. Relationship of Reporting Person(s) to

(Check all applicable)

EVP, Chief Adm Ofcr & Gen Cnsl

6. Ownership

Form: Direct

(D) or Indirect Beneficial

6. Individual or Joint/Group Filing(Check

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

(I)

(Instr. 4)

10% Owner

Other (specify

7. Nature of

Ownership

(Instr. 4)

SEC 1474

(9-02)

Indirect

Issuer

below)

Person

5. Amount of

Securities

Owned

Beneficially

Following

Reported

Transaction(s) (Instr. 3 and 4)

Director

Applicable Line)

X\_ Officer (give title

Estimated average

burden hours per

1

#### Edgar Filing: United Continental Holdings, Inc. - Form 4

(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr. 8	or Disp (D) (Instr. 3 and 5)	osed of				
				Code	V (A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Restricted Stock Units	(1)	06/14/2017		A	1,161	l	(2)	(2)	Common Stock	1,161
Restricted Stock Units	(1)	06/14/2017		A	9,670	)	(3)	(3)	Common Stock	9,670
Stock Option (Right to Buy)	\$ 77.56	06/14/2017		A	21,52	1	<u>(4)</u>	06/14/2027	Common Stock	21,521

# **Reporting Owners**

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Hart Brett J

P. O. BOX 66100 HDQLD CHICAGO, IL 60666 EVP, Chief Adm Ofcr & Gen Cnsl

### **Signatures**

/s/ Sarah E. Hagy for Brett J. Hart

06/16/2017

\*\*Signature of Reporting Person

Date

## **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) Each restricted stock unit ("RSU") represents the economic equivalent of one share of UAL common stock and shall be settled in shares of UAL common stock upon vesting.
- (2) The RSUs vest in three installments of 387 RSUs on February 28, 2018, 387 RSUs on February 28, 2019 and 387 RSUs on February 28, 2020.
- (3) The RSUs vest in three installments of 3,223 RSUs on June 14, 2020, 3,223 RSUs on June 14, 2021 and 3,224 RSUs on June 14, 2022.
- (4) The stock options vest in three installments of 7,173 options on June 14, 2020, 7,174 options on June 14, 2021 and 7,174 options on June 14, 2022.

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.

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