

MOODYS CORP /DE/
Form 4
September 07, 2016

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
Huber Linda

(Last) (First) (Middle)

7 WORLD TRADE CENTER, 250 GREENWICH STREET

(Street)

NEW YORK, NY 10007

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
MOODYS CORP /DE/ [MCO]

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

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

Executive VP and CFO

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 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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	09/06/2016		M ⁽¹⁾		7,078	A	\$ 26.78
							63,637
Common Stock	09/06/2016		S ⁽¹⁾		7,078	D	\$ 110.021
							56,559
Common Stock	09/06/2016		M ⁽¹⁾		35,100	A	\$ 30.01
							91,659
Common Stock	09/06/2016		S ⁽¹⁾		35,100	D	\$ 110.172
							56,559
	09/06/2016		M ⁽¹⁾		30,284	A	\$ 38.61
							86,843

Edgar Filing: MOODYS CORP /DE/ - Form 4

Common Stock								
Common Stock	09/06/2016	S ⁽¹⁾	30,284	D	\$ 110.221 (4)	56,559	D	
Common Stock	09/06/2016	M ⁽¹⁾	85,000	A	\$ 38.07	141,559	D	
Common Stock	09/06/2016	S ⁽¹⁾	85,000	D	\$ 110.075 (5)	56,559	D	
Common Stock	09/06/2016	M ⁽¹⁾	25,133	A	\$ 25.37	81,692	D	
Common Stock	09/06/2016	S ⁽¹⁾	25,133	D	\$ 110.17	56,559	D	

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.

SEC 1474
(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	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 26.78	09/06/2016		M ⁽¹⁾	7,078	02/09/2011 ⁽⁶⁾	02/09/2020	Common Stock	7,078
Employee Stock Option (right to buy)	\$ 30.01	09/06/2016		M ⁽¹⁾	35,100	02/08/2012 ⁽⁶⁾	02/08/2021	Common Stock	35,100
Employee Stock	\$ 38.61	09/06/2016		M ⁽¹⁾	30,284	02/13/2013 ⁽⁶⁾	02/13/2022	Common Stock	30,284

Edgar Filing: MOODYS CORP /DE/ - Form 4

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.