### Edgar Filing: BRISTOL MYERS SQUIBB CO - Form 3

### BRISTOL MYERS SQUIBB CO Form 3 September 03, 2013 FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB

### 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 <u>*</u> Nielsen Anne	2. Date of Event Requiring Statement (Month/Day/Year)	3. Issuer Name and Ticker or Trading Symbol BRISTOL MYERS SQUIBB CO [BMY]				
(Last) (First) (Middle)	09/01/2013	4. Relationshi Person(s) to I	ip of Reporting ssuer	5. If Amendment, Date Original Filed(Month/Day/Year)		
BRISTOL-MYERS SQUIBB COMPANY, 345 PARK AVENUE (Street)		Director X Officer (give title below	w) (specify belo	Owner 6. Individual or Joint/Group		
NEW YORK, NY 10154		Chief Comp	oliance & Ethics	_X_Form filed by One Reporting Person Form filed by More than One Reporting Person		
(City) (State) (Zip)	Table I - N	Non-Derivat	tive Securiti	es Beneficially Owned		
1.Title of Security (Instr. 4)	2. Amount o Beneficially (Instr. 4)		3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)		
Common Stock, \$0.10 par value	33,181.19	5	D	Â		
information cont required to respo	ach class of securities benefic pond to the collection of ained in this form are not ond unless the form disp MB control number.	t s	EC 1473 (7-02	)		

#### Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security	2. Date Exercisable and	3. Title and Amount of	4.	5.	6. Nature of Indirect
(Instr. 4)	Expiration Date	Securities Underlying	Conversion	Ownership	Beneficial
	(Month/Day/Year)	Derivative Security	or Exercise	Form of	Ownership
		(Instr. 4)	Price of	Derivative	(Instr. 5)
			Derivative	Security:	

OMB APPROVAL OMB 3235-0104 Number:

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Market Share Units	( <u>1)</u>	03/02/2014	Common Stock, \$0.10 par value	914	\$ <u>(2)</u>	D	Â
Market Share Units	( <u>3)</u>	03/01/2015	Common Stock, \$0.10 par value	2,065	\$ <u>(2)</u>	D	Â
Market Share Units	(4)	03/06/2016	Common Stock, \$0.10 par value	2,172	\$ <u>(2)</u>	D	Â
Market Share Units	(5)	03/10/2017	Common Stock, \$0.10 par value	2,755	\$ <u>(2)</u>	D	Â
Performance Shares	( <u>6)</u>	03/31/2014	Common Stock, \$0.10 par value	5,757.6828	\$ <u>(7)</u>	D	Â
Performance Shares	(8)	03/31/2015	Common Stock, \$0.10 par value	1,839.9207	\$ <u>(9)</u>	D	Â

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# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Nielsen Anne BRISTOL-MYERS SQUIBB COMPANY 345 PARK AVENUE NEW YORK, NY 10154	Â	Â	Chief Compliance & Ethics Off	Â		
Signatures						
/s/ Robert J. Wollin, attorney-in-fact for Ann Nielsen	ne	09/03	3/2013			
<u>**</u> Signature of Reporting Person		D	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 market share units will vest on March 2, 2014.

Each market share unit converts into the number of shares of common stock determined by applying a payout factor to the target number

- (2) of shares vesting on a given date. The payout factor is a ratio of the average of the closing price on the measurement date plus the nine prior trading days divided by the average stock price on the grant date (also a 10-day average). The minimum payout factor that must be achieved to earn a payout is 60% and the maximum payout factor is 200%.
- (3) One-half of these market share units will vest on each of March 1, 2014 and March 1, 2015.
- (4) One-third of these market share units will vest on each of March 6, 2014, March 6, 2015, and March 6, 2016.
- (5) Twenty-five percent of the market share unit award will vest on each of the first, second, third, and fourth anniversaries of the grant date, starting on March 10, 2014.
- (6) Consists of 5,317 performance shares and 440.6828 performance shares representing dividend equivalents earned under the 2011-2013 Long-Term Performance Award.
- (7) Each performance share converts into one share of common stock upon distribution in the first quarter of 2014.
- (8) Consists of 1,740 performance shares and 99.9207 performance shares representing dividend equivalents earned under the 2012-2014 Long Term Performance Award.
- (9) Each performance share converts into one share of common stock upon distribution in the first quarter of 2015.

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#### **Remarks:**

### Exhibit 24 - Power of Attorney

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.