SEC Form 4

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person* Frese Calvin W Jr					Name and Ticker of GROUP, IN					5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
(Last) (First) (Middle)			3. Date of Earliest Transaction (Month/Day/Year) 02/16/2018							Director Officer (give title below)	Other (below)	10% Owner Other (specify below)			
321 NORTH CLARK STREET											Global Gro	oup President			
SUITE 3400					ndment, Date of Or	iginal File	ed (Mo	onth/Day/Year)	6. Indiv	6. Individual or Joint/Group Filing (Check Applicable Line)					
											X Form filed by One Reporting Person				
(Street) CHICAGO	IL	60654									Form filed by More than One Reporting Pere				
(City)	(State)	(Zip)													
		Table I - No	on-Deriv	vative S	ecurities Acq	uired,	Disp	osed of, or	Benefi	cially Ow	ned				
Date				action Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities A Disposed Of (I			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership		
						Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)		
Class A Common Stock 02/			02/16	5/2018		A ⁽¹⁾		34,218	Α	\$0.0000	247,339	D			
Class A Common Stock 02/1			02/16	5/2018		A ⁽²⁾		33,376	Α	\$0.0000	280,715	D			
					curities Acqui lls, warrants, o		•	•		•	ed	S	•		

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security		Transaction Code (Instr.		Derivative		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		Derivative Security (Instr. 5)	derivative Securities Beneficially Owned	Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		

Explanation of Responses:

1. The Issuer granted these securities to the Reporting Person on February 16, 2018 as part of the Reporting Person's 2018 annual management equity award. These securities will vest at a rate of 25% per year on each of February 16, 2019, 2020, 2021 and 2022, subject to forfeiture or acceleration in certain circumstances as set forth in the award agreement.

2. The Issuer granted these securities to the Reporting Person in August 2015 as part of the Reporting Person's 2015 annual management equity award. On February 16, 2018, the Compensation Committee of the Board of Directors of the Issuer certified the Issuer's Adjusted EPS performance necessary for this award to vest. As such, these securities will vest in full on August 14, 2018, subject to forfeiture in certain circumstances as set forth in the award agreement.

/s/ Cindy Kee, Attorney-in-Fact for Calvin W. Frese, Jr.

** Signature of Reporting Person

Person Date

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

 * 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.

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