

Samuels Eric
Form 4
September 05, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 *
Samuels Eric

(Last) (First) (Middle)

EASTMAN KODAK
COMPANY, 343 STATE STREET

(Street)

ROCHESTER, NY 14650

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
EASTMAN KODAK CO [KODK]

3. Date of Earliest Transaction
(Month/Day/Year)
09/03/2018

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)
CAO and Corp. Controller

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 Ownership (Instr. 4)
			Code	V	Amount (A) or (D) Price		
Common Stock, par value \$.01	09/03/2018		M		3,636 A \$ 0 (1)	12,004	D
Common Stock, par value \$.01	09/03/2018		F		1,234 (2) D \$ 3.25	10,770	D
Common Stock, par value \$.01	09/03/2018		M		3,209 A \$ 0 (3)	13,979	D
Common Stock, par	09/03/2018		F		1,089 (2) D \$ 3.25	12,890	D

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value \$.01

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

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(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 (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 Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Restricted Stock Units	\$ 0 ⁽¹⁾	09/03/2018		M	3,636	⁽¹⁾ 09/03/2018	Common Stock, par value \$.01	3,636	
Restricted Stock Units	\$ 0 ⁽³⁾	09/03/2018		M	3,209	⁽³⁾ 09/03/2019	Common Stock, par value \$.01	3,209	
Restricted Stock Units	\$ 0 ⁽⁴⁾					⁽⁴⁾ 03/21/2020	Common Stock, par value \$.01	3,004	
Stock Option (Right to Buy)	\$ 23.78					⁽⁵⁾ 09/02/2021	Common Stock, par value \$.01	19,012	
Stock Option (Right to Buy)	\$ 13.76					⁽⁶⁾ 09/02/2022	Common Stock, par value \$.01	26,087	
Stock Option (Right to Buy)	\$ 15.58					⁽⁷⁾ 09/02/2023	Common Stock, par value \$.01	25,467	
	\$ 11.1					⁽⁸⁾ 03/20/2024		11,161	

Stock Option (Right to Buy)					Common Stock, par value \$.01	
Stock Option (Right to Buy)	\$ 12.5	<u>(9)</u>	09/13/2024		Common Stock, par value \$.01	101,523

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Samuels Eric EASTMAN KODAK COMPANY 343 STATE STREET ROCHESTER, NY 14650			CAO and Corp. Controller	

Signatures

/s/ Sharon E. Underberg, Attorney-in-fact for Eric H. Samuels 09/05/2018

**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) These restricted stock units, which convert into common stock on a one-for-one basis, vest one-third on each of the first three anniversaries of the 9/3/2015 grant date.
- (2) Shares withheld to cover tax withholding obligations upon the vesting of restricted stock units.
- (3) These restricted stock units, which convert into common stock on a one-for-one basis, vest one-third on each of the first three anniversaries of the 9/3/2016 grant date.
- (4) These restricted stock units, which convert into common stock on a one-for-one basis, vest one-third on each of the first three anniversaries of the 3/21/2017 grant date.
- (5) This option vests one-third on each of the first three anniversaries of the 9/3/2014 grant date.
- (6) This option vests one-third on each of the first three anniversaries of the 9/3/2015 grant date.
- (7) This option vests one-third on each of the first three anniversaries of the 9/3/2016 grant date.
- (8) This option vests one-third on each of the first three anniversaries of the 3/21/2017 grant date.
- (9) This option vests one-third on each of the first three anniversaries of the 9/14/2017 grant date.

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.