

PPL Corp
Form 3
January 05, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| Â Raphael Joanne H | | (Month/Day/Year) | PPL Corp [PPL] | |
| (Last) | (First) | (Middle) | 4. Relationship of Reporting Person(s) to Issuer | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| TWO NORTH NINTH STREET | | | (Check all applicable) | |
| (Street) | | | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) SVP, GC & Corp Sec | |
| ALLENTOWN,Â PAÂ 18101 | | | 6. Individual or Joint/Group Filing(Check Applicable Line) | |
| (City) | (State) | (Zip) | <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person | |

Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---------------------------------|---|--|--|
| Common Stock | 17,474 | D | Â |
| Common Stock | 1,355.632 ⁽¹⁾ | I | Held in trust pursuant to the Employee Stock Ownership Plan. |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. SEC 1473 (7-02)

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 Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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

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| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Derivative Security | Security: Direct (D) or Indirect (I) (Instr. 5) | |
|--|---------------------|--------------------|-----------------|----------------------------------|------------------------|---|---|
| Stock Unit (ICPKE) | Â (2) | Â (2) | Common Stock | 8,732 | \$ (3) | D | Â |
| Stock Unit (ICPKE) | Â (4) | Â (4) | Common Stock | 8,625 | \$ (3) | D | Â |
| Stock Unit (ICPKE) | Â (5) | Â (5) | Common Stock | 7,281 | \$ (3) | D | Â |
| Performance Unit (ICPKE) | Â (6) | Â (6) | Common Stock | 6,199.254 (1) | \$ (6) | D | Â |
| Performance Unit (ICPKE) | Â (7) | Â (7) | Common Stock | 9,106.307 (1) | \$ (7) | D | Â |
| Performance Unit (ICPKE) | Â (8) | Â (8) | Common Stock | 7,595.418 (1) | \$ (8) | D | Â |
| Performance Unit (ICPKE) | Â (8) | Â (8) | Common Stock | 3,667.107 (1) | \$ (8) | D | Â |
| Employee Stock Options (Right to Buy) | Â (9) | 01/23/2018 | Common Stock | 14,507 | \$ 42.84 | D | Â |
| Employee Stock Options (Right to Buy) | Â (10) | 01/21/2019 | Common Stock | 22,410 | \$ 28.77 | D | Â |
| Employee Stock Options (Right to Buy) | Â (11) | 01/20/2020 | Common Stock | 21,288 | \$ 28.09 | D | Â |
| Employee Stock Options (Right to Buy) | Â (12) | 01/26/2021 | Common Stock | 35,651 | \$ 23.2 | D | Â |
| Employee Stock Options (Right to Buy) | Â (13) | 01/25/2022 | Common Stock | 36,750 | \$ 25.41 | D | Â |
| Employee Stock Options (Right to Buy) | Â (14) | 09/30/2022 | Common Stock | 466 | \$ 25.95 | D | Â |
| Employee Stock Options (Right to Buy) | Â (15) | 01/23/2023 | Common Stock | 64,532 | \$ 26.59 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|----------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Raphael Joanne H TWO NORTH NINTH STREET ALLENTOWN, PA 18101 | Â | Â | Â SVP, GC & Corp Sec | Â |

Signatures

/s/Frederick C. Paine, as Attorney-In-Fact for Joanne H.
Raphael

01/05/2016

__Signature of Reporting Person

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) Total includes the reinvestment of dividends.
- (2) The units will vest on January 24, 2016.
- (3) No conversion or exercise price applies. Under the terms of the Incentive Compensation Plan for Key Employees (ICPKE), a restricted stock unit converts to a share of common stock on the applicable vesting date.
- (4) The units will vest on January 23, 2017.
- (5) The units will vest on January 22, 2018.
- (6) No conversion or exercise price or exercise or expiration date applies. Under the terms of the Incentive Compensation Plan for Key Employees (ICPKE), all, some or none of the underlying securities will be earned depending on the Company's performance relative to an industry peer group over a three-year performance period ending December 31, 2015. Determination of number of underlying securities that have been earned, if any, will be made by the Compensation, Governance and Nominating Committee in January 2016.
- (7) No conversion or exercise price or exercise or expiration date applies. Under the terms of the Incentive Compensation Plan for Key Employees (ICPKE), all, some or none of the underlying securities will be earned depending on the Company's performance relative to an industry peer group over a three-year performance period ending December 31, 2016. Determination of number of underlying securities that have been earned, if any, will be made by the Compensation, Governance and Nominating Committee in January 2017.
- (8) No conversion or exercise price or exercise or expiration date applies. Under the terms of the Incentive Compensation Plan for Key Employees (ICPKE), all, some or none of the underlying securities will be earned depending on the Company's performance relative to an industry peer group over a three-year performance period ending December 31, 2017. Determination of number of underlying securities that have been earned, if any, will be made by the Compensation, Governance and Nominating Committee in January 2018.
- (9) The total grant of 14,507 options vested in three installments on January 24, 2009, January 24, 2010 and January 24, 2011.
- (10) The total grant of 22,410 options vested in three installments on January 22, 2010, January 22, 2011 and January 22, 2012.
- (11) The total grant of 21,288 options vested in three installments on January 21, 2011, January 21, 2012 and January 21, 2013.
- (12) The total grant of 35,651 options vested in three installments on January 27, 2012, January 27, 2013 and January 27, 2014.
- (13) The total grant of 36,750 options vested in three installments on January 26, 2013, January 26, 2014 and January 26, 2015.
- (14) The total grant of 466 options vested in three installments on October 1, 2013, October 1, 2014 and October 1, 2015.
- (15) The total grant of 64,532 options vest in three installments on January 24, 2014, January 24, 2015 and January 24, 2016.

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.