

KROGER CO
Form 3
April 26, 2017

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

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 FIKE CARIN L | | (Month/Day/Year) | KROGER CO [KR] | |
| (Last) | (First) | (Middle) | 4. Relationship of Reporting Person(s) to Issuer | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| | | 04/26/2017 | | |
| C/O THE KROGER CO.,Â 1014 VINE 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) |
| | | | Vice President and Treasurer | |
| CINCINNATI,Â OHÂ 45202 | | | 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 | 21,409.5974 ⁽¹⁾ | D | Â |
| Common Stock | 3,019 | I | by Spouse |

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) | |
|----------------------------|------------------|-----------------|--------------|----------------------------|---------------------|---|-----------|
| Non-Qualified Stock Option | Â (2) | 06/26/2018 | Common Stock | 800 | \$ 14.305 | D | Â |
| Non-Qualified Stock Option | Â (2) | 06/25/2019 | Common Stock | 4,000 | \$ 11.17 | D | Â |
| Non-Qualified Stock Option | Â (2) | 06/24/2020 | Common Stock | 4,000 | \$ 10.08 | D | Â |
| Non-Qualified Stock Option | Â (2) | 06/23/2021 | Common Stock | 4,000 | \$ 12.37 | D | Â |
| Non-Qualified Stock Option | Â (2) | 07/12/2022 | Common Stock | 6,000 | \$ 10.98 | D | Â |
| Non-Qualified Stock Option | Â (2) | 07/15/2023 | Common Stock | 3,000 | \$ 18.88 | D | Â |
| Non-Qualified Stock Option | Â (2) | 07/15/2024 | Common Stock | 6,000 | \$ 24.665 | D | Â |
| Non-Qualified Stock Option | Â (2) | 07/15/2025 | Common Stock | 3,010 | \$ 38.33 | D | Â |
| Non-Qualified Stock Option | Â (2) | 07/13/2026 | Common Stock | 3,250 | \$ 37.48 | D | Â |
| Non-Qualified Stock Option | Â (2) | 06/24/2020 | Common Stock | 3,300 | \$ 10.08 | I | by Spouse |
| Non-Qualified Stock Option | Â (2) | 06/23/2021 | Common Stock | 3,300 | \$ 12.37 | I | by Spouse |
| Non-Qualified Stock Option | Â (2) | 07/12/2022 | Common Stock | 4,000 | \$ 10.98 | I | by Spouse |
| Non-Qualified Stock Option | Â (2) | 07/15/2023 | Common Stock | 4,000 | \$ 18.88 | I | by Spouse |
| Non-Qualified Stock Option | Â (2) | 07/15/2024 | Common Stock | 4,000 | \$ 24.665 | I | by Spouse |
| Non-Qualified Stock Option | Â (2) | 07/15/2025 | Common Stock | 2,672 | \$ 38.33 | I | by Spouse |
| Non-Qualified Stock Option | Â (2) | 07/13/2026 | Common Stock | 3,462 | \$ 37.48 | I | by Spouse |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

FIKE CARIN L
C/O THE KROGER CO. Â Â Â Vice President and Treasurer Â
1014 VINE STREET
CINCINNATI, OH 45202

Signatures

/s/ Carin L. Fike 04/26/2017

__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) The total amount of securities directly owned by the reporting person includes shares in the Company's employee benefit plans that are deemed to be 'tax-conditioned plans' pursuant to Rule 16b-3, to the extent disclosed on reports received from plan trustees.
- (2) These options were granted under a long-term incentive plan of The Kroger Co. and vest in equal annual installments in whole amounts over a five-year period, at the rate of 20% per year commencing one year from the date of the grant.

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.