

WILLIAMS JEFFREY E  
Form 4  
April 03, 2019

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

OMB APPROVAL

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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 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 \*  
WILLIAMS JEFFREY E

2. Issuer Name and Ticker or Trading Symbol  
APPLE INC [AAPL]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
ONE APPLE PARK WAY

3. Date of Earliest Transaction (Month/Day/Year)  
04/01/2019

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
COO

(Street)  
CUPERTINO, CA 95014

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

(City) (State) (Zip)

**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 Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price                                      |
| Common Stock                    | 04/01/2019                           |  | M                              |   | 105,400   | A  | <u>(1)</u>                                 |
| Common Stock <u>(3)</u>         | 04/01/2019                           |  | F                              |   | 48,989  | D  | \$ 191.24                                  |
|                                 |                                      |  |                                |   | 213,609   | D  | <u>(2)</u>                                 |
|                                 |                                      |  |                                |   | 164,620   | D  |  |

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

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SEC 1474 (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 Acquired (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) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Restricted Stock Unit                      | (1)  | 04/01/2019                           |  | M                              | 40,954  | (4) (4)  | Common Stock  | 40,954                        |
| Restricted Stock Unit                      | (1)  | 04/01/2019                           |  | M                              | 36,108  | (5) (5)  | Common Stock  | 36,108                        |
| Restricted Stock Unit                      | (1)  | 04/01/2019                           |  | M                              | 28,338  | (6) (6)  | Common Stock  | 28,338                        |

## Reporting Owners

| Reporting Owner Name / Address                                  | Relationships |           |         |       |
|---|---------------|-----------|---------|-------|
|   | Director      | 10% Owner | Officer | Other |
| WILLIAMS JEFFREY E<br>ONE APPLE PARK WAY<br>CUPERTINO, CA 95014 |               |           | COO     |       |

## Signatures

/s/ Sam Whittington, Attorney-in-Fact for Jeffrey E. Williams  
04/03/2019

\_\_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) Each restricted stock unit represents the right to receive, at settlement, one share of common stock.
- (2) The number of securities reported reflects the acquisition on January 31, 2019 of 124 shares of Apple Inc.'s common stock pursuant to the Apple Inc. Amended Employee Stock Purchase Plan ("ESPP") for the ESPP purchase period of August 1, 2018 through January 31, 2019.
- (3) Shares withheld by Apple to satisfy tax withholding requirements on vesting of restricted stock units. No shares were sold.
- (4) This award was granted on October 17, 2014. 40,955 restricted stock units subject to the award vested on April 1, 2017 and 40,954 restricted stock units subject to the award vested on each of April 1, 2018 and April 1, 2019.

This award was granted on October 5, 2015. 36,108 restricted stock units subject to the award vested on each of April 1, 2018 and April 1, 2019 and 36,107 restricted stock units are scheduled to vest on April 1, 2020, assuming continued employment through the applicable vesting date.

(6)

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This award was granted on October 14, 2016. 28,338 restricted stock units subject to the award vested on April 1, 2019, 28,338 restricted stock units are scheduled to vest on April 1, 2020 and 28,337 restricted stock units are scheduled to vest on April 1, 2021, assuming continued employment through the applicable vesting date.

### **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.

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