

POLK MICHAEL B
Form 4
August 28, 2017

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 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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
POLK MICHAEL B

2. Issuer Name **and** Ticker or Trading
Symbol
NEWELL BRANDS INC [NWL]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

221 RIVER STREET

3. Date of Earliest Transaction
(Month/Day/Year)
08/24/2017

☒ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
CEO

(Street)

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

HOBOKEN, NJ 07030

(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 Beneficial Ownership (Instr. 4)
Common Stock	08/24/2017		A	V 0 ⁽¹⁾	A \$ 0 604,296 ⁽¹⁾	D	
Common Stock					47,303	I	By Trust (spouse as trustee)
Common Stock					58,031	I	Michael B. Polk December 2012 5-year GRAT
					64,866	I	

Edgar Filing: POLK MICHAEL B - Form 4

Common Stock						Michael B. Polk May 2015 3-year GRAT
Common Stock	64,600 ⁽²⁾	I				Michael B. Polk August 2016 3-year GRAT
Common Stock	79,200 ⁽³⁾	I				Michael B. Polk August 2016 5-year GRAT
Common Stock	85,150 ⁽⁴⁾	I				Michael B. Polk August 2016 7-year GRAT

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

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.

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. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repor Trans (Instr
						Date Exercisable	Expiration Date	Title	Amount or Number of Shares
				Code	V (A) (D)				

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
POLK MICHAEL B 221 RIVER STREET	X		CEO	

HOBOKEN, NJ 07030

Signatures

/s/ Leah Lower, Attorney in Fact for Michael B.
Polk

08/28/2017

__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) Reflects the distribution of shares of common stock from GRATs. The distribution qualifies as only a change in the form of the Reporting Person's beneficial ownership.
- (2) Reflects the distribution of 27,900 shares of common stock from this GRAT to the Reporting Person. This distributions qualifies as only a change in the form of the Reporting Person's beneficial ownership.
- (3) Reflects the distribution of 13,300 shares of common stock from this GRAT to the Reporting Person. This distributions qualifies as only a change in the form of the Reporting Person's beneficial ownership.
- (4) Reflects the distribution of 7,350 shares of common stock from this GRAT to the Reporting Person. This distributions qualifies as only a change in the form of the Reporting Person's beneficial ownership.

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.