#### INVESTMENT TECHNOLOGY GROUP, INC.

Form 4

January 26, 2017

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5

Check this box

**SECURITIES** Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue.

30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

See Instruction

1. Name and Address of Reporting Person \* VIGLIOTTI STEVEN R

2. Issuer Name and Ticker or Trading

Symbol

INVESTMENT TECHNOLOGY

(Check all applicable)

5. Relationship of Reporting Person(s) to

GROUP, INC. [ITG]

(Last) (First) (Middle)

(Street)

(State)

3. Date of Earliest Transaction

Director 10% Owner X\_ Officer (give title Other (specify

6. Individual or Joint/Group Filing(Check

(Zip)

(Month/Day/Year) 01/24/2017

below) Managing Director and CFO

ONE LIBERTY PLAZA, 165 **BROADWAY** 

4. If Amendment, Date Original

Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person

Form filed by More than One Reporting Person

NEW YORK, NY 10006

(City)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Issuer

below)

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

3. Transaction(A) or Disposed of Code (D) (Instr. 3, 4 and 5) (Instr. 8)

4. Securities Acquired 5. Amount of 6. Ownership 7. Nature of Securities Form: Direct Indirect Beneficially (D) or Beneficial Ownership Owned Indirect (I) (Instr. 4) Following (Instr. 4)

D

Reported (A) Transaction(s) or (Instr. 3 and 4)

Code V Price Amount (D)

Common 01/24/2017 Stock

A 13,664 Α <u>(1)</u> 184,809.67

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

#### Edgar Filing: INVESTMENT TECHNOLOGY GROUP, INC. - Form 4

| 1. Title of | 2.          | 3. Transaction Date | 3A. Deemed         | 4.                    | 5.           | 6. Date Exer | cisable and | 7. Title  | and    | 8. Price of | 9. Nu  |
|-------------|-------------|---------------------|--------------------|-----------------------|--------------|--------------|-------------|-----------|--------|-------------|--------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | TransactionNumber     |              | Expiration D | ate         | Amour     | nt of  | Derivative  | Deriv  |
| Security    | or Exercise |                     | any                | Code                  | of           | (Month/Day/  | Year)       | Underl    | ying   | Security    | Secui  |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8) Derivative |              | e            |             | Securit   | ies    | (Instr. 5)  | Bene   |
|             | Derivative  |                     |                    | Securities            |              |              | (Instr.     | 3 and 4)  |        | Own         |        |
|             | Security    |                     |                    |                       | Acquired     |              |             |           |        |             | Follo  |
|             | ·           |                     |                    |                       | (A) or       |              |             |           |        |             | Repo   |
|             |             |                     |                    |                       | Disposed     |              |             |           |        |             | Trans  |
|             |             |                     |                    |                       | of (D)       |              |             |           |        |             | (Instr |
|             |             |                     |                    |                       | (Instr. 3,   |              |             |           |        |             | `      |
|             |             |                     |                    |                       | 4, and 5)    |              |             |           |        |             |        |
|             |             |                     |                    |                       |              |              |             |           |        |             |        |
|             |             |                     |                    |                       |              |              |             |           | Amount |             |        |
|             |             |                     |                    |                       | Date Expirat |              | Expiration  | Title Num |        |             |        |
|             |             |                     |                    |                       |              | Date         | Number      |           |        |             |        |
|             |             |                     |                    |                       |              |              | 2           |           | of     |             |        |
|             |             |                     |                    | Code V                | (A) (D)      |              |             |           | Shares |             |        |

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

VIGLIOTTI STEVEN R ONE LIBERTY PLAZA 165 BROADWAY NEW YORK, NY 10006

Managing Director and CFO

## **Signatures**

Angelique DeSanto, by Power of Attorney filed with Form 3 dated February 5, 2010

01/26/2017

\*\*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).

This grant of time-based stock units consists of basic units and matching units. Basic units vest in equal annual installments on each of the first, second and third anniversaries of the date of grant if the Reporting Person has remained continuously employed by the Issuer and is in good standing through and on each applicable vesting date. Matching units will vest 100% on the third anniversary of the date of grant if the Reporting Person has remained continuously employed by the Issuer and is in good standing through and on such vesting 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.

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