### Edgar Filing: INTERNATIONAL BUSINESS MACHINES CORP - Form 4

#### INTERNATIONAL BUSINESS MACHINES CORP

Form 4

November 09, 2016

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

**OMB** Number:

3235-0287

Check this box if no longer

Expires:

January 31, 2005

0.5

subject to Section 16. Form 4 or

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Estimated average burden hours per response...

**OMB APPROVAL** 

Form 5 obligations may continue.

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

See Instruction 1(b).

(Print or Type Responses)

(Last)

(City)

1. Name and Address of Reporting Person \*

2. Issuer Name and Ticker or Trading

Issuer

van Kralingen Bridget A

(First)

(State)

Symbol

(Check all applicable)

5. Relationship of Reporting Person(s) to

INTERNATIONAL BUSINESS MACHINES CORP [IBM]

10% Owner

**IBM CORPORATION, 63** 

(Month/Day/Year)

11/08/2016

Officer (give title Other (specify below)

6. Individual or Joint/Group Filing(Check

Senior Vice President

MADISON AVE.

4. If Amendment, Date Original

3. Date of Earliest Transaction

(Street) Filed(Month/Day/Year)

(Middle)

(Zip)

Applicable Line)

Director

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

NEW YORK, NY 10016

(City)	(State)	(Zip) Tak	ole I - Non-	Derivativ	e Secu	urities Acquir	ed, Disposed of,	or Beneficiall	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactic Code (Instr. 8)		esed of 4 and (A) or	` ′	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	11/08/2016		S	350	D	\$ 155.52	5,984.0385	D	
Common Stock	11/08/2016		S	500	D	\$ 155.5395	5,484.0385	D	

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.

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

1. Title of Derivative	2. Conversion	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if	4. Transacti	5. Nun	nber	6. Date Exerc Expiration D		7. Title and A		8. Price of Derivative
Security (Instr. 3)	or Exercise Price of Derivative Security	(	any (Month/Day/Year)	Code	e Derivative		Expiration Date (Month/Day/Year)		Underlying Securities (Instr. 3 and 4)		Security (Instr. 5)
				Code V	У (A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock Unit	\$ 0 (1)	11/08/2016		A(2)	146		<u>(3)</u>	<u>(3)</u>	Common Stock	146	\$ 0

Relationships

## **Reporting Owners**

Reporting Owner Name / Address	real control of the c							
	Director	10% Owner	Officer	Other				
van Kralingen Bridget A								
IBM CORPORATION			Saniar Viaa Prasidant					
CONTADIOON AND			Senior Vice President					

## **Signatures**

63 MADISON AVE. NEW YORK, NY 10016

A. Gomes da Silva on behalf of B. A. van Kralingen

\*\*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) Phantom stock units convert to the cash value of the company's common stock on a one-for-one basis.
- (2) Acquisition of phantom stock units under the IBM Excess 401(k) Plus Plan.
- (3) Distribution of phantom stock units under the IBM Excess 401(k) Plus Plan is deferred until separation from the company. The reporting person may transfer these phantom stock units into an alternative investment account under such plan.

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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