Dorward-King Elaine J Form 4 September 06, 2018

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

**OMB APPROVAL** 

OMB 3235-0287 Number:

January 31, Expires: 2005

10% Owner

Other (specify

0.5

Estimated average burden hours per response...

Check this box if no longer subject to Section 16. Form 4 or

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

Form 5 obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

(First)

(Street)

(Middle)

(Zip)

Dorward-King Elaine J

2. Issuer Name and Ticker or Trading

Symbol

NEWMONT MINING CORP /DE/ [NEM]

3. Date of Earliest Transaction

(Month/Day/Year)

09/04/2018

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

6363 SOUTH FIDDLERS GREEN

**CIRCLE** 

(Last)

4. If Amendment, Date Original

Filed(Month/Day/Year)

below) below) EVP, S&ER

6. Individual or Joint/Group Filing(Check Applicable Line)

Director

X\_ Officer (give title

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

Person

**GREENWOOD** VILLAGE, CO 80111

> (City) (State)

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

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

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

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

(A) or Code V Amount (D) Price

Transaction(s) (Instr. 3 and 4)

Common

value

Stock, 09/04/2018 \$1.60 par

3,000 S (1)

D

105,831

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.

#### Edgar Filing: Dorward-King Elaine J - Form 4

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

1. Title of	2.	3. Transaction Date		4.		5.	_	6. Date Exer		7. Title and A		8. Price o
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionNumber			ber	Expiration Date		Underlying Securities		Derivativ
Security	or Exercise		any	Code of		(Month/Day	Year)	(Instr. 3 and 4)		Security		
(Instr. 3)	Price of		(Month/Day/Year)	(Instr.	8)	Deriv	vative	<b>:</b>				(Instr. 5)
	Derivative					Secu	rities					
	Security					Acqu	iired					
	•					(A) c	or					
						Dispo	osed					
						of (D						
						(Inst	1					
						4, an						
						i, aii	u 5)					
											Amount	
								D-4-	E		or	
								Date	Expiration	Title	Number	
								Exercisable	Date		of	
				Code	V	(A)	(D)				Shares	
						( -)	( . )					
Phantom	(2)	00/15/2010		T(3)	17		34	(3)	(3)	Commom	24 (4)	¢ 22 0
Stock	<u>(2)</u>	08/15/2018		$J_{\underline{(3)}}$	V		(4)	(3)	(3)	Stock	34 <u>(4)</u>	\$ 33.0

# **Reporting Owners**

Reporting Owner Name / Address	Relationships

Director 10% Owner Officer Other

Dorward-King Elaine J 6363 SOUTH FIDDLERS GREEN CIRCLE GREENWOOD VILLAGE, CO 80111

EVP, S&ER

## **Signatures**

Logan H. Hennessey, as attorney-in-fact for Elaine Dorward-King

09/06/2018

\*\*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) The sale reported in this Form 4 was effected pursuant to a Rule 10b5-1 trading plan.
- (2) Convertible on a 1-for-1 basis.
- Shares of phantom stock, payable in cash under the terms of the Savings Equalization Plan of the Corporation, were reallocated following (3) the elimination of the Newmont Stock Fund as an investment option under the Savings Equalization Plan. No volitional sales or transfers of Newmont securities were made by the reporting person in connection with the above reported change in ownership.
- The number of phantom stock reported is based on the Corporation's estimation of the share value correlated with the number of units in the Savings Equalization Plan of the Corporation. Fluctuation in share estimation since the filing of the Form 4 reporting the acquisition of the phantom stock reflects changes in the stock price rather than investments or dispositions of units within the Savings Equalization 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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