

Higgins Thomas Joseph  
 Form 4  
 March 25, 2019

**FORM 4**

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

OMB APPROVAL

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

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 \*  
 Higgins Thomas Joseph

(Last) (First) (Middle)

C/O FIRST DATA CORPORATION, 225 LIBERTY STREET, 29TH FLOOR

(Street)

NEW YORK, NY 10281

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
 FIRST DATA CORP [FDC]

3. Date of Earliest Transaction (Month/Day/Year)  
 03/22/2019

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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

**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
Class A Common Stock <sup>(1)</sup>	03/22/2019		C		65,909	A	\$ 0
Class A Common Stock	03/22/2019		M		13,182	A	\$ 16
Class A Common Stock	03/22/2019		M		7,233	A	\$ 12.52
Class A Common Stock	03/22/2019		S		87,651	D	\$

Edgar Filing: Higgins Thomas Joseph - Form 4

Common Stock	25,5135 <u>(2)</u>			
Class A Common Stock	2,500	I	By spouse	

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 Security (Instr. 3 and 4)	Amount or Number of Shares		
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	
Stock Options (right to buy)	\$ 12.65	03/22/2019		M		59,318		<u>(3)</u>	03/05/2024	Class B Common Stock <u>(4)</u>	59,318
Stock Options (right to buy)	\$ 14.23	03/22/2019		M		6,591		<u>(3)</u>	01/14/2025	Class B Common Stock <u>(4)</u>	6,591
Class B Common Stock	<u>(4)</u>	03/22/2019		M		59,318		<u>(4)</u>	<u>(4)</u>	Class A Common Stock	59,318
Class B Common Stock	<u>(4)</u>	03/22/2019		M		6,591		<u>(4)</u>	<u>(4)</u>	Class A Common Stock	6,591
Class B Common Stock	<u>(4)</u>	03/22/2019		C		65,909		<u>(4)</u>	<u>(4)</u>	Class A Common Stock	65,909
Stock Options (right to buy)	\$ 16	03/22/2019		M		13,182		<u>(3)</u>	10/15/2025	Class A Common Stock	13,182
Stock	\$ 12.52	03/22/2019		M		7,233		<u>(3)</u>	02/24/2026	Class A	7,233

Options  
(right to  
buy)Common  
Stock

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Higgins Thomas Joseph C/O FIRST DATA CORPORATION 225 LIBERTY STREET, 29TH FLOOR NEW YORK, NY 10281				See remarks

## Signatures

/s/ Gretchen A. Herron, by power of  
attorney

03/25/2019

\_\_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 share of Class A Common Stock was issued upon the conversion of one share of Class B Common Stock.  
The price represents the weighted average purchase price for multiple transactions reported on this line. The prices of the transactions
  - (2) ranged from \$25.50 to \$25.56, inclusive. Upon request of the SEC staff, First Data Corporation (FDC), or a security holder of FDC, the reporting person will provide full information regarding the number of shares purchased at each separate price.
  - (3) These stock options are fully vested and exercisable.
  - (4) Shares of Class B common stock are convertible into shares of Class A common stock on a one-for-one basis at any time at the option of the holder with the prior written consent of the issuer, automatically upon transfer, with certain exceptions, and upon certain other events.

### Remarks:

Executive Vice President

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.