Edgar Filing: YUM BRANDS INC - Form 4

YUM BRANDS INC Form 4 Form 4 May 08, 2014 FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB APPROVAL Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. Section 16. Form 4 or Form 5 obligations may continue. See Instruction 16. (a) of the Public Utility Holding Company Act of 1935 or Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 16. (b). OMB APPROVAL								
1. Name and Address of Reporting Person * 2. Issuer Name and Ticker or Trading BLUM JONATHAN DAVID Symbol YUM BRANDS INC [YUM]					5. Relationship of Reporting Person(s) to Issuer			
(Last)(First)(Middle)3. Date of Earliest Transaction (Month/Day/Year)1441 GARDINER LANE05/01/2014				- - 1	Director 10% Owner XOfficer (give titleOther (specify below) below) SVP and Chief Public Affairs			
Filed(Month/Day/Year) Ar					X_ Form filed by One Reporting Person Form filed by More than One Reporting			
Zip) Tabl	le I - Non-	Derivative	e Secu	rities Acqu	ired, Disposed of,	or Beneficiall	y Owned	
2A. Deemed Execution Date, if any (Month/Day/Year)	ed 3. 4. Securities Acquired (A Date, if Transaction Disposed of (D) Code (Instr. 3, 4 and 5) ay/Year) (Instr. 8) (A) or			(D) 5)	Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
05/08/2014	Code V M	Amount 9,500 (1)	(D) A	Price \$ 32.98	31,631	D		
05/08/2014	D	6,653 (1)	D	\$ 76.22	24,978	D		
05/08/2014	S	2,847 (1)	D	\$ 76.2418	22,131	D		
	ENT OF CHAN ant to Section 1 of the Public U 30(h) of the Ir and to Section 1 of the Public U 30(h) of the Ir erson 1 2. Issue Symbol YUM E ddle) 3. Date o (Month/I 05/01/2 4. If Ame Filed(Mo Cap) Tab 2A. Deemed Execution Date, if Month/Day/Year) 05/08/2014 05/08/2014	Washington ENT OF CHANGES IN SECUT annt to Section 16(a) of the Public Utility Ho 30(h) of the Investment annt to Section 16(a) of the Order Public Utility Ho 30(h) of the Investment erson * 2. Issuer Name an Symbol YUM BRANDS ddle) 3. Date of Earliest To (Month/Day/Year) 05/01/2014 ddle) 3. Date of Earliest To (Month/Day/Year) 05/01/2014 4. If Amendment, If Filed(Month/Day/Year) 05/01/2014 4. State of Earliest To (Month/Day/Year) 05/01/2014 Cip) Table I - Non-Pate if Transaction Code Month/Day/Year) (Instr. 8) A. Deemed 3. Earliest Month/Day/Year) (Instr. 8) Code Month/Day/Year) (Instr. 8) Code V 05/08/2014 M 05/08/2014 D	Washington, D.C. 24 ENT OF CHANGES IN BENER SECURITIES ant to Section 16(a) of the Security of the Public Utility Holding Co 30(h) of the Investment Compa erson * 2. Issuer Name and Ticker of Symbol YUM BRANDS INC [Y ddle) 3. Date of Earliest Transaction (Month/Day/Year) ddle) 3. Date of Earliest Transaction (Month/Day/Year) 05/01/2014 4. If Amendment, Date Origin Filed(Month/Day/Year) Cip) Table I - Non-Derivative 24. Deemed 2. A. Deemed 3. 3. 4. Securi Transaction Dispo Code (Instr. 3, Month/Day/Year) 05/08/2014 M 05/08/2014 D 05/08/2014 D 05/08/2014 2,847	Washington, D.C. 20549ENT OF CHANGES IN BENEFICIA SECURITIEStant to Section 16(a) of the Securities Iof the Public Utility Holding Compare 30(h) of the Investment Company Aerson $^{\circ}$ 2. Issuer Name and Ticker or Trad Symbol YUM BRANDS INC [YUM]ddle)3. Date of Earliest Transaction (Month/Day/Year) 05/01/2014ddle)3. Date of Earliest Transaction (Month/Day/Year) 05/01/2014Table I - Non-Derivative Secu 24. DeemedA. Deemed3. 4. Securities A Execution Date, if Transactionro Disposed of iny Code (Instr. 3, 4 and Month/Day/Year)(Instr. 3, 4 and Month/Day/Year)OS/08/2014MACode V Amount (D) 9,500 (1)OS/08/2014D6,653 (1)DS(08/2014D2,847	Washington, D.C. 20549 ENT OF CHANGES IN BENEFICIAL OWN SECURITIES tant to Section 16(a) of the Securities Exchange of the Public Utility Holding Company Act of 1940 erson $^{\circ}_{-}$ 2. Issuer Name and Ticker or Trading Symbol YUM BRANDS INC [YUM] ddle) 3. Date of Earliest Transaction (Month/Day/Year) ddle) 3. Date of Earliest Transaction (Month/Day/Year) 05/01/2014 4. If Amendment, Date Original Filed(Month/Day/Year) Capemed 3. 4. Securities Acquired (A) Execution Date, if Month/Day/Year) Code V Amount (D) Price 9,500 A \$ 32.98 05/08/2014 D $\frac{6,653}{(1)}$ D \$ 76.22 05/08/2014 S $2,847$ S	Washington, D.C. 20549ENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIESanant to Section 16(a) of the Securities Exchange Act of 1934, of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940erson $^{\circ}_{\circ}$ 2. Issuer Name and Ticker or Trading SymbolYUM BRANDS INC [YUM](Checkddle)3. Date of Earliest Transaction(Month/Day/Year)A Securities Acquired (A)SymbolYUM BRANDS INC [YUM](Checkddle)3. Date of Earliest Transaction(Month/Day/Year)A DirectorX_Officer (give 1) below)SymbolSymbolSymbolSymbolColspan="2">Officer (give 1) below)Symbol <td< td=""><td>TATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB Number: ENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Expires: in of the Securities Exchange Act of 1934, of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 5. Relationship of Reporting Pers Issuer erson * 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Pers Issuer YUM BRANDS INC [YUM] (Check all applicable below) (Check all applicable below) ddle) 3. Date of Earliest Transaction (Month/Day/Year) Director $X_Officer (give title$</br></br></td></td<>	TATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB Number: ENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Expires: in of the Securities Exchange Act of 1934, of the Public Utility Holding Company Act of 1935 or Section 	

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

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number.

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. Transactio Code (Instr. 8)	5. Number onof 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 Amou Underlying Securi (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amo or Nur of Sha
Stock Appreciation Right	\$ 32.98	05/01/2014	05/08/2014	М	9,500 (1)	02/05/2011(2)	02/05/2020	Common Stock	9,:

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
BLUM JONATHAN DAVID 1441 GARDINER LANE LOUISVILLE, KY 40213			SVP and Chief Public Affairs			
Signatures						

Jigin

/s/ M. Gayle Hobson, POA 05/08/2014 <u>**</u>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) Pursuant to 10b5-1 Plan
- (2) Vesting occurs 25% per year beginning 02/05/2011.

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.