

LADER PHILIP

Form 4

December 13, 2012

**FORM 4**
**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

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

## OMB APPROVAL

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
LADER PHILIP

(Last) (First) (Middle)

4300 WILSON BOULEVARD

(Street)

ARLINGTON, VA 22203

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
AES CORP [AES]

3. Date of Earliest Transaction  
(Month/Day/Year)  
12/11/2012

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)

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	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 Beneficial Ownership (Instr. 4)
Common Stock	12/11/2012		M	V Amount (A) or (D) Price 17,725 A \$ 10.72	23,590	D	
Common Stock	12/11/2012		M	6,329 A \$ 10.72	29,919	D	
Common Stock	12/13/2012		J	35,125 A \$ 0	35,125 <sup>(1)</sup>	I	by Lader Family Partners, LLLP
Common Stock	12/11/2012		J	535 A \$ 0	26,586	I	By Philip Lader, Trustee, The Linda

LeSourd  
Lader  
Irrevocable  
Defective  
Grantor  
Trust Dated  
03/11/09

Common  
Stock

89,380 I

By Family  
Foundation

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 Securities (Instr. 3 and 4)		8. Amount or Number of Shares
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title		Amount or Number of Shares
Stock Option (Right to Buy)	\$ 6.7	12/11/2012		M	17,725	<u>(2)</u>	05/13/2013	Common Stock		17,725
Stock Option (Right to Buy)	\$ 8.58	12/11/2012		M	6,329	<u>(3)</u>	04/28/2014	Common Stock		6,329

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
LADER PHILIP 4300 WILSON BOULEVARD ARLINGTON, VA 22203	X			

## Signatures

Philip Lader

12/13/2012

\_\_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).

None of the transactions listed on this Form 4 are market transactions. Mr. Lader exercised 24,054 options and contributed the shares to the Lader Family Partners, LLLP, along with 5,865 shares he previously held directly, 25 shares held by his daughter and 5181 shares

- (1) held in his IRA. Mr. Lader is General Partner and General Manager of the Lader Family Partners, LLLP. The shares owned by Lader Family Partners, LLLP are being indirectly gifted to family members of Mr. Lader. Mr. Lader is not required to report the gifts on Form 4 but will report the gifts on Form 5 within 45 days after the close of AES' fiscal year.
- (2) This ten year option grant was awarded on 5/13/2003 and became exercisable in installments of 50% at the end of each of the first two years.
- (3) This ten year option grant was awarded on 4/28/2004 and became exercisable in installments of 50% at the end of each of the first two years.

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.