

EMC CORP
Form 4
September 08, 2016

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

OMB APPROVAL

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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 *
TUCCI JOSEPH M

(Last) (First) (Middle)

EMC CORPORATION, 176 SOUTH STREET

(Street)

HOPKINTON, MA 01748

(City) (State) (Zip)

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

3. Date of Earliest Transaction (Month/Day/Year)
09/06/2016

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)

Chairman, President and CEO

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 Beneficial Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock	09/06/2016		M		120,000 (1)	A	\$ 15.18 2,126,080 D
Common Stock	09/06/2016		F		89,986 (2)	D	\$ 28.77 2,036,094 D
Common Stock	09/06/2016		M		159,786 (1)	A	\$ 15.18 2,195,880 D
Common Stock	09/06/2016		F		119,821 (2)	D	\$ 28.77 2,076,059 D
Common Stock	09/06/2016		M		100,000 (1)	A	\$ 15.31 2,176,059 D

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Common Stock	09/06/2016	F	75,228 ⁽²⁾	D	\$ 28.77	2,100,831	D
Common Stock	09/06/2016	M	150,000 ⁽¹⁾	A	\$ 15.31	2,250,831	D
Common Stock	09/06/2016	F	112,842 ⁽²⁾	D	\$ 28.77	2,137,989	D
Common Stock	09/06/2016	M	70,000 ⁽¹⁾	A	\$ 20.47	2,207,989	D
Common Stock	09/06/2016	F	59,307 ⁽²⁾	D	\$ 28.77	2,148,682	D
Common Stock	09/06/2016	M	105,000 ⁽¹⁾	A	\$ 20.47	2,253,682	D
Common Stock	09/06/2016	F	88,961 ⁽²⁾	D	\$ 28.77	2,164,721	D
Common Stock	09/06/2016	M	61,616 ⁽¹⁾	A	\$ 25.04	2,226,337	D
Common Stock	09/06/2016	F	57,387 ⁽²⁾	D	\$ 28.77	2,168,950	D
Common Stock	09/06/2016	M	88,577 ⁽¹⁾	A	\$ 25.04	2,257,527	D
Common Stock	09/06/2016	F	82,497 ⁽²⁾	D	\$ 28.77	2,175,030	D
Common Stock	09/06/2016	M	79,082 ⁽¹⁾	A	\$ 26.8	2,254,112	D
Common Stock	09/06/2016	F	76,215 ⁽²⁾	D	\$ 28.77	2,177,897	D
Common Stock	09/06/2016	M	60,034 ⁽¹⁾	A	\$ 26.8	2,237,931	D
Common Stock	09/06/2016	F	57,858 ⁽²⁾	D	\$ 28.77	2,180,073	D
Common Stock	09/06/2016	F	235,348 ⁽³⁾	D	\$ 0	1,944,725	D
Common Stock	09/07/2016	D	1,944,725	D	\$ 0 ⁽⁴⁾	0	D

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

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

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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)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Am Nun Sha
Stock Option Right To Buy	\$ 15.18	09/06/2016		M	120,000	08/20/2009 ⁽⁵⁾	08/20/2018	Common Stock	12
Stock Option Right To Buy	\$ 15.18	09/06/2016		M	159,786	08/20/2009 ⁽⁵⁾	08/20/2018	Common Stock	15
Stock Option Right To Buy	\$ 15.31	09/06/2016		M	100,000	08/04/2010 ⁽⁵⁾	08/04/2019	Common Stock	10
Stock Option Right To Buy	\$ 15.31	09/06/2016		M	150,000	08/04/2010 ⁽⁵⁾	08/04/2019	Common Stock	15
Stock Option Right To Buy	\$ 20.47	09/06/2016		M	70,000	08/03/2011 ⁽⁵⁾	08/03/2020	Common Stock	70
Stock Option Right To Buy	\$ 20.47	09/06/2016		M	105,000	08/03/2011 ⁽⁵⁾	08/03/2020	Common Stock	10
Stock Option Right To Buy	\$ 25.04	09/06/2016		M	61,616	08/03/2012 ⁽⁵⁾	08/03/2021	Common Stock	61
Stock Option Right To Buy	\$ 25.04	09/06/2016		M	88,577	08/03/2012 ⁽⁵⁾	08/03/2021	Common Stock	88
Stock Option Right To Buy	\$ 26.8	09/06/2016		M	79,082	08/08/2013 ⁽⁵⁾⁽⁶⁾	08/08/2022	Common Stock	79
	\$ 26.8	09/06/2016		M	60,034	08/08/2013 ⁽⁵⁾⁽⁷⁾	08/08/2022		60

Stock
Option
Right To
Buy

Common
Stock

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
TUCCI JOSEPH M EMC CORPORATION 176 SOUTH STREET HOPKINTON, MA 01748	X		Chairman, President and CEO	

Signatures

/s/Barbara E. Coluci, Attorney
In Fact

09/08/2016

**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) In connection with the merger (the "Merger") of Universal Acquisition Co. with and into EMC Corporation on September 7, 2016, these shares were acquired pursuant to the automatic net exercise of stock options occurring immediately prior to 11:59 p.m., New York City time on September 6, 2016 (the "Vesting Effective Time").
 - (2) Consists of shares withheld by EMC to satisfy the applicable exercise price upon exercise of options and associated tax withholding obligations related to the automatic net exercise of options immediately prior to the Vesting Effective Time described in footnote 1 above.
 - (3) Shares withheld by EMC to satisfy certain taxes payable in connection with the vesting of previously awarded restricted stock units.
 - (4) In connection with the Merger, at the effective time of the Merger, each outstanding share of EMC Corporation common stock beneficially owned by the reporting person was automatically canceled and converted into the right to receive (i) \$24.05 in cash and (ii) 0.11146 of a share of Class V Common Stock of Dell Technologies Inc. (f/k/a Denali Holding Inc.).
 - (5) In connection with the merger (the "Merger") of Universal Acquisition Co. with and into EMC Corporation on September 7, 2016, these stock options were automatically net exercised immediately prior to 11:59 p.m., New York City time on September 6, 2016 (the "Vesting Effective Time").
 - (6) In connection with the Merger, 19,770 of these stock options were accelerated and became fully vested and exercisable on August 17, 2016.
 - (7) In connection with the Merger, 12,007 of these stock options were accelerated and became fully vested and exercisable on August 17, 2016.

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.