## Edgar Filing: ESTEE LAUDER COMPANIES INC - Form 4/A

### ESTEE LAUDER COMPANIES INC

Form 4/A

September 10, 2013

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

3235-0287

2005

0.5

January 31, Expires:

Estimated average

10% Owner Other (specify

**OMB APPROVAL** 

burden hours per

response...

if no longer subject to Section 16. Form 4 or Form 5

Check this box

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)

2. Issuer Name and Ticker or Trading **MOSS SARA E** Issuer Symbol **ESTEE LAUDER COMPANIES** INC [EL] (Last) (First) (Middle) 3. Date of Earliest Transaction Director X\_ Officer (give title (Month/Day/Year)

09/04/2013

09/06/2013

5. Relationship of Reporting Person(s) to

(Check all applicable)

THE ESTEE LAUDER

**COMPANIES INC., 767 FIFTH AVENUE** 

1. Name and Address of Reporting Person \*

(Street)

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

6. Individual or Joint/Group Filing(Check

EVP and General Counsel

Applicable Line)

below)

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

NEW YORK, NY 10153

(City) (State) (Zip)

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

1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 7. Nature of Transaction(A) or Disposed of (D) Indirect Security (Month/Day/Year) Execution Date, if Securities Ownership (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially Form: Direct Beneficial (Month/Day/Year) (Instr. 8) Owned (D) or Ownership Following Indirect (I) (Instr. 4) Reported (Instr. 4) (A) Transaction(s) (Instr. 3 and 4) Code V (D) Price Amount Class A \$  $F^{(1)}$ Common 09/04/2013 11,796 D 67.31 71,498 D (2) Stock

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)

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. Transactic Code (Instr. 8)	5. Number of or 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)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Option (Right to Buy)	\$ 67.31 (3)	09/04/2013		A	29,873	<u>(4)</u>	09/04/2023	Class A Common Stock	29,873
Restricted Stock Units (Share Payout)	\$ 0 (5)	09/04/2013		A	10,649 (6)	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	10,649 (6)

# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

MOSS SARA E THE ESTEE LAUDER COMPANIES INC. 767 FIFTH AVENUE NEW YORK, NY 10153

**EVP** and General Counsel

# **Signatures**

Sara E. Moss, by Maureen Sladek, attorney-in-fact 09/10/2013

\*\*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) Represents the withholding of shares for tax purposes in connection with the payout of the PSUs.
- (2) Reflects amended price of Class A Common Stock.
- (3) Reflects amended exercise price.
- Stock options granted pursuant to Fiscal 2002 Share Incentive Plan in respect of 9,957 shares exercisable from and after January 1, 2015; 9,958 shares exercisable from and after January 1, 2016; and 9,958 shares exercisable from and after January 1, 2017.
- (5) Not applicable. Restricted Stock Units ("RSUs") vest and are paid out in shares of Class A Common Stock on a one-to-one basis on the applicable vesting date.

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- (6) Reflects amended number of RSUs awarded.
  - Assuming continued employment, the RSUs granted on September 4, 2013 will vest and be paid out as follows: 3,549 on October 31, 2014; 3,550 on November 2, 2015; and 3,550 on October 31, 2016. Assuming continued employment, the RSUs held by the Reporting
- (7) Person will vest and be paid out as follows: 10,857 on October 31, 2013; 9,711 on October 31, 2014; 6,240 on November 2, 2015; 8,874 on November 16, 2015; and 3,550 on October 31, 2016. Upon payout, shares will be withheld to cover minimum statutory tax obligations. RSUs are accompanied by dividend equivalent rights that will be payable in cash at the time of payout of the related shares.

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.