

Backus Marcia E.  
Form 4  
February 09, 2018

**FORM 4**

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

OMB APPROVAL

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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 \*  
Backus Marcia E.

2. Issuer Name and Ticker or Trading Symbol  
OCCIDENTAL PETROLEUM CORP /DE/ [OXY]

5. Relationship of Reporting Person(s) to Issuer  
  
(Check all applicable)

(Last) (First) (Middle)

OCCIDENTAL PETROLEUM CORPORATION, 5 GREENWAY PLAZA, STE. 110

3. Date of Earliest Transaction (Month/Day/Year)  
02/07/2018

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
SVP, GC & CCO

(Street)

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

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

HOUSTON, TX 77046

(City) (State) (Zip)

**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 Ownership (Instr. 4)
			Code	V Amount (D) Price			
Common Stock	02/07/2018		A <sup>(1)</sup>	19,322 A \$ 0	53,127	D	
Common Stock	02/07/2018		A <sup>(2)</sup>	20,087 A \$ 0	73,214	D	
Common Stock					1,204 <sup>(3)</sup>	I	By OPC Savings Plan

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

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(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. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned (Instr. 5)
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## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director    10% Owner    Officer    Other

Backus Marcia E.  
OCCIDENTAL PETROLEUM CORPORATION  
5 GREENWAY PLAZA, STE. 110  
HOUSTON, TX 77046

SVP, GC & CCO

## Signatures

/s/ Nicole E. Clark, Attorney-in-Fact for Marcia E. Backus

02/09/2018

\_\_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) Award of restricted stock units (RSUs) pursuant to the Issuer's 2015 Long-Term Incentive Plan (2015 LTIP). Each RSU represents a contingent right to receive one share of the Issuer's common stock upon vesting. The RSUs will vest in three equal annual installments beginning on February 28, 2019.
- (2) On February 15, 2017, the reporting person was granted 20,087 performance stock units (PSUs) pursuant to the 2015 LTIP, which were subject to performance- and time-based vesting conditions. On February 7, 2018, achievement of the performance condition was certified by the Compensation Committee of the Issuer's Board of Directors, vesting the performance condition and converting the PSUs into RSUs. Each RSU represents a contingent right to receive one share of the Issuer's common stock upon vesting. The RSUs will vest in three equal annual installments beginning February 28, 2018.
- (3) Based on a plan statement dated February 7, 2018.

## Edgar Filing: Backus Marcia E. - Form 4

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.  
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