

PPL Corp
Form 3
January 05, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

INITIAL STATEMENT OF 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 *	2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol
Â Bergstein Joseph P Jr	(Month/Day/Year)	PPL Corp [PPL]
(Last) (First) (Middle)	01/01/2016	
TWO NORTH NINTH STREET		4. Relationship of Reporting Person(s) to Issuer
(Street)		(Check all applicable)
ALLENTOWN,Â PAÂ 18101		☐ Director ☐ 10% Owner ☒ Officer ☐ Other (give title below) (specify below) VP-IR and Treasurer
(City) (State) (Zip)		5. 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

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Common Stock	1,997.565 ⁽¹⁾	D	Â
Common Stock	249.648 ⁽¹⁾	I	Held in trust pursuant to the Employee Stock Ownership Plan.
Common Stock	40.231 ⁽¹⁾	I	As custodian for children under the Dividend Reinvestment Plan.

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

SEC 1473 (7-02)

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.

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

Edgar Filing: PPL Corp - Form 3

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Employee Stock Options (Right to Buy)	Â <u>(2)</u>	05/31/2022	Common Stock	2,983	\$ 24.75	D	Â
Employee Stock Options (Right to Buy)	Â <u>(3)</u>	01/23/2023	Common Stock	20,645	\$ 26.59	D	Â
Stock Unit (ICPKE)	Â <u>(4)</u>	Â <u>(4)</u>	Common Stock	1,646	\$ <u>(5)</u>	D	Â
Stock Unit (ICPKE)	Â <u>(6)</u>	Â <u>(6)</u>	Common Stock	2,796	\$ <u>(5)</u>	D	Â
Stock Unit (ICPKE)	Â <u>(7)</u>	Â <u>(7)</u>	Common Stock	2,377	\$ <u>(5)</u>	D	Â
Performance Unit (ICPKE)	Â <u>(8)</u>	Â <u>(8)</u>	Common Stock	1,989.252 <u>(1)</u>	\$ <u>(8)</u>	D	Â
Performance Unit (ICPKE)	Â <u>(9)</u>	Â <u>(9)</u>	Common Stock	2,954.172 <u>(1)</u>	\$ <u>(9)</u>	D	Â
Performance Unit (ICPKE)	Â <u>(10)</u>	Â <u>(10)</u>	Common Stock	2,472.736 <u>(1)</u>	\$ <u>(10)</u>	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bergstein Joseph P Jr TWO NORTH NINTH STREET ALLENTOWN,Â PAÂ 18101	Â	Â	Â VP-IR and Treasurer	Â

Signatures

/s/Frederick C. Paine, as Attorney-In-Fact for Joseph P.
Bergstein Jr.

01/05/2016

**Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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) Total includes the reinvestment of dividends.

(2) The total grant of 4,473 options vested in three installments on June 1, 2013, June 1, 2014 and June 1, 2015.

(3) The total grant of 20,645 options vest in three installments on January 24, 2014, January 24, 2015 and January 24, 2016.

Edgar Filing: PPL Corp - Form 3

- (4) The units will vest on March 1, 2016.
- (5) No conversion or exercise price applies. Under the terms of the Incentive Compensation Plan for Key Employees (ICPKE), a restricted stock unit converts to a share of common stock on the applicable vesting date.
- (6) The units will vest on March 1, 2017.
- (7) The units will vest on March 1, 2018.
- (8) No conversion or exercise price or exercise or expiration date applies. Under the terms of the Incentive Compensation Plan for Key Employees (ICPKE), all, some or none of the underlying securities will be earned depending on the Company's performance relative to an industry peer group over a three-year performance period ending December 31, 2015. Determination of number of underlying securities that have been earned, if any, will be made by the Compensation, Governance and Nominating Committee in January 2016.
- (9) No conversion or exercise price or exercise or expiration date applies. Under the terms of the Incentive Compensation Plan for Key Employees (ICPKE), all, some or none of the underlying securities will be earned depending on the Company's performance relative to an industry peer group over a three-year performance period ending December 31, 2016. Determination of number of underlying securities that have been earned, if any, will be made by the Compensation, Governance and Nominating Committee in January 2017.
- (10) No conversion or exercise price or exercise or expiration date applies. Under the terms of the Incentive Compensation Plan for Key Employees (ICPKE), all, some or none of the underlying securities will be earned depending on the Company's performance relative to an industry peer group over a three-year performance period ending December 31, 2017. Determination of number of underlying securities that have been earned, if any, will be made by the Compensation, Governance and Nominating Committee in January 2018.

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.