

SUNTRUST BANKS INC

Form 3

April 04, 2017

FORM 3UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated 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 *

Â Cummins Hugh S. III

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

04/03/2017

3. Issuer Name **and** Ticker or Trading Symbol
SUNTRUST BANKS INC [STI]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
CEVP & Wholesale Banking
Exec6. Individual or Joint/Group
Filing(Check Applicable Line)
☒ Form filed by One Reporting
Person
☐ Form filed by More than One
Reporting Person

303 PECHTREE STREET, NE

(Street)

ATLANTA,Â GAÂ 30308

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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

25,635.91

D

Â

common Stock

2,858.9519

I

401(k) ⁽¹⁾Reminder: Report on a separate line for each class of securities beneficially
owned directly or indirectly.

SEC 1473 (7-02)

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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)**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
Derivative5. Ownership
Form of
Derivative
Security:6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Phantom Stock ⁽³⁾	Â ⁽³⁾	Â ⁽³⁾	Common Stock	1,080.196	\$ ⁽³⁾	D	Â
Phantom Stock ⁽²⁾	02/14/2020	02/14/2020	Common Stock	1,971.813	\$ ⁽²⁾	D	Â
Phantom Stock ⁽²⁾	02/14/2019	02/14/2019	Common Stock	1,971.813	\$ ⁽²⁾	D	Â
Phantom Stock ⁽²⁾	02/14/2018	02/14/2018	Common Stock	1,972.818	\$ ⁽²⁾	D	Â
Phantom Stock ⁽²⁾	02/09/2020	02/09/2020	Common Stock	46,488.511	\$ ⁽²⁾	D	Â
Phantom Stock ⁽²⁾	02/09/2019	02/09/2019	Common Stock	46,488.514	\$ ⁽²⁾	D	Â
Phantom Stock ⁽²⁾	02/09/2019	02/09/2019	Common Stock	3,625.766	\$ ⁽²⁾	D	Â
Phantom Stock ⁽²⁾	02/09/2018	02/09/2018	Common Stock	3,625.765	\$ ⁽²⁾	D	Â
Phantom Stock ⁽²⁾	02/10/2018	02/10/2018	Common Stock	3,332.148	\$ ⁽²⁾	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Cummins Hugh S. III 303 PECHTREE STREET, NE ATLANTA, GA 30308	Â	Â	Â CEVP & Wholesale Banking Exec	Â

Signatures

David Wisniewski, Attorney-in-Fact for Hugh S. Cummins, III

04/04/2017

__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) Because the stock fund component of the 401(k) Plan is accounted for in unit accounting, the number of share equivalents varies based on the closing price of SunTrust stock on the applicable measurement date.

Represents time-vested restricted stock units under the 2009 Stock Plan. The Plan is exempt under Rule 16b-3. The restricted stock unit award agreements contain tax withholding features which allow us to withhold units to satisfy withholding obligations. Units will be settled in shares.

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- (3) The phantom stock units were acquired under SunTrust Banks, Inc.'s Deferred Compensation Plan. These securities convert to common stock on a one-for-one basis.

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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