

FORD MOTOR CO
Form 5
February 09, 2017

FORM 5

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

Check this box if
no longer subject
to Section 16.
Form 4 or Form
5 obligations
may continue.
See Instruction
1(b).
Form 3 Holdings
Reported
Form 4
Transactions
Reported

ANNUAL 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

OMB APPROVAL

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1. Name and Address of Reporting Person *
FORD WILLIAM CLAY JR

(Last) (First) (Middle)

FORD MOTOR COMPANY,Â ONE
AMERICAN ROAD

(Street)

2. Issuer Name and Ticker or Trading
Symbol
FORD MOTOR CO [F]

3. Statement for Issuer's Fiscal Year Ended
(Month/Day/Year)
12/31/2016

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)
Exec. Chairman and Chairman

6. Individual or Joint/Group Reporting

(check applicable line)

DEARBORN,Â MIÂ 48126

(City) (State) (Zip)

☒ 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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Class B Stock, \$0.01 par value	02/04/2016	Â	G	10,980 D \$ 0	7,389,053	I	By Voting Trust ⁽¹⁾
Class B Stock, \$0.01 par value	04/15/2016	Â	G	1,078 A \$ 0	8,580,158	I	By Voting Trust ⁽¹⁾

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Class B Stock, \$0.01 par value	05/12/2016	Â	G	206,860	A	\$ 0	8,787,018	I	By Voting Trust ⁽¹⁾
Class B Stock, \$0.01 par value	02/04/2016	Â	G	1,220	A	\$ 0	91,357	I	By Spouse ⁽²⁾
Class B Stock, \$0.01 par value	02/04/2016	Â	G	9,760	A	\$ 0	1,851,800	I	By Voting Trust-Children ⁽³⁾
Class B Stock, \$0.01 par value	04/15/2016	Â	G	4,312	A	\$ 0	2,054,151	I	By Voting Trust-Children ⁽³⁾
Class B Stock, \$0.01 par value	05/12/2016	Â	G	206,860	D	\$ 0	687,478	I	By Annuity Trust ⁽⁴⁾
Class B Stock, \$0.01 par value	Â	Â	Â	Â	Â	Â	247,855	I	by Spouse as Trustee ⁽⁵⁾
Common Stock, \$0.01 par value	Â	Â	Â	Â	Â	Â	2,297	D	Â
Common Stock, \$0.01 par value	Â	Â	Â	Â	Â	Â	114,507	I	By Company Plan
Common Stock, \$0.01 par value	Â	Â	Â	Â	Â	Â	55,798	I	By Children ⁽⁶⁾

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

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.

SEC 2270
(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	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
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(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr. 8)	Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)				Date Exercisable	Expiration Date	Title	Amount or Number of Shares
					(A)	(D)						
BEP Ford Stock Fund Units	Â	Â	Â	Â	Â	Â	Â	(7)	Â	(7)	Common Stock, \$0.01 par value	93,412 (7)
Employee Stock Option (Right to Buy)	\$ 2.84	Â	Â	Â	Â	Â	Â	(8)		03/26/2019	Common Stock, \$0.01 par value	1,474,367 (8)
Employee Stock Option (Right to Buy)	\$ 12.69	Â	Â	Â	Â	Â	Â	(9)		03/02/2020	Common Stock, \$0.01 par value	485,436 (9)
Employee Stock Option (Right to Buy)	\$ 12.98	Â	Â	Â	Â	Â	Â	(10)		08/04/2020	Common Stock, \$0.01 par value	1,320,754 (10)
Employee Stock Option (Right to Buy)	\$ 14.76	Â	Â	Â	Â	Â	Â	(11)		03/02/2021	Common Stock, \$0.01 par value	412,735 (11)
Employee Stock Option (Right to Buy)	\$ 12.46	Â	Â	Â	Â	Â	Â	(12)		03/04/2022	Common Stock, \$0.01 par value	595,238 (12)
Employee Stock Option (Right to Buy)	\$ 12.75	Â	Â	Â	Â	Â	Â	(13)		03/03/2023	Common Stock, \$0.01 par value	347,912 (13)
Employee Stock Option	\$ 15.37	Â	Â	Â	Â	Â	Â	(14)		03/03/2024	Common Stock, \$0.01 par	286,415 (14)

(Right to
Buy)

value

Ford
Stock
Units

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^

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^

^

^ (15)

^ (15)

Common
Stock,
\$0.01 par
value

3,078 (15)

Ford
Stock
Units

^

^

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^

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^

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^ (16)

^ (16)

Common
Stock,
\$0.01 par
value310,832
(16)Ford
Stock
Units

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^

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^ (17)

^ (17)

Common
Stock,
\$0.01 par
value

73,144 (17)

Ford
Stock
Units

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^

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^

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^ (18)

^ (18)

Common
Stock,
\$0.01 par
value156,942
(18)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
FORD WILLIAM CLAY JR FORD MOTOR COMPANY ONE AMERICAN ROAD DEARBORN, MI 48126	^ X	^	^ Exec. Chairman and Chairman	^

Signatures

Jerome F. Zaremba,
Attorney-in-Fact

02/09/2017

**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) I am one of four trustees of the voting trust. As shown, it holds 8,787,018 shares of Class B Stock for my benefit. I disclaim beneficial ownership of any other shares of Class B Stock in said voting trust.
- (2) I disclaim beneficial ownership of these shares owned by my wife.
- (3) I am one of four trustees of the voting trust. As shown, it holds 2,054,151 shares of Class B Stock for the benefit of my children. I disclaim beneficial ownership of these shares.
- (4) These shares are held in a grantor retained annuity trust of which I am the trustee.
- (5) I disclaim beneficial ownership of these shares held by my wife as trustee of this trust for the benefit of my descendants.
- (6) I disclaim beneficial ownership of these shares owned by my children.
- (7)

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These Ford Stock Fund Units were credited to my account by the Company, without payment by me, in transactions exempt under Rule 16b-3(c), under the Company's Benefit Equalization Plan, and included in my most recent plan statement. In general, these Ford Stock Fund Units will be converted and distributed to me, without payment, in cash, following termination of employment, based on the then current price of a Ford Stock Fund Unit and the then current market value of a share of Common Stock.

- (8) This option became exercisable to the extent of 33% of the shares optioned as of August 5, 2010, 66% of the shares optioned after two years from the date of grant (03/27/2009), and in full after three years from the date of grant (03/27/2009).
- (9) This option became exercisable to the extent of 33% of the shares optioned after one year from the date of grant (03/03/2010), 66% after two years, and in full after three years.
- (10) This option became exercisable to the extent of 33% of the shares optioned after one year from the date of grant (08/05/2010), 66% after two years, and in full after three years.
- (11) This option became exercisable to the extent of 33% of the shares optioned after one year from the date of grant (03/03/2011), 66% after two years, and in full after three years.
- (12) This option became exercisable to the extent of 33% of the shares optioned after one year from the date of grant (03/05/2012), 66% after two years, and in full after three years.
- (13) This option became exercisable to the extent of 33% of the shares optioned after one year from the date of grant (03/04/2013), 66% after two years, and in full after three years.
- (14) This option became exercisable to the extent of 33% of the shares optioned after one year from the date of grant (03/04/2014), 66% after two years, and in full after three years.

- These Ford Stock Units were acquired under the Company's Deferred Compensation Plan for Non-Employee Directors. In general, these
- (15) Ford Stock Units will be converted and distributed to me, without payment, in cash, on January 10th of the year following termination of Board service, based upon the then current market value of a share of Common Stock.

- (16) These Ford Restricted Stock Units were acquired under the Company's 2008 Long-Term Incentive Plan without payment by me. These Ford Restricted Stock Units will be converted and distributed to me, without payment, in shares of Common Stock on March 4, 2017.

- These Ford Restricted Stock Units were acquired under the Company's 2008 Long-Term Incentive Plan without payment by me. These
- (17) Ford Restricted Stock Units will be converted and distributed to me, without payment, in shares of Common Stock to the extent of 36,026 shares of Common Stock on March 4, 2017 and 37,118 shares of Common Stock on March 4, 2018.

- These Ford Restricted Stock Units were acquired under the Company's 2008 Long-Term Incentive Plan without payment by me. These
- (18) Ford Restricted Stock Units will be converted and distributed to me, without payment, in shares of Common Stock to the extent of 33% after one year from the date of grant (03/03/2016), 66% after two years, and in full after three years.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.