

Shaffer Robert P
Form 3
April 05, 2018

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 *

Shaffer Robert P

(Last) (First) (Middle)

38 FOUNTAIN SQUARE
PLAZA

(Street)

CINCINNATI, OH 45263

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

03/27/2017

3. Issuer Name **and** Ticker or Trading Symbol
FIFTH THIRD BANCORP [FITB]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
EVP and CHRO

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

38,811.37 ⁽¹⁾

D

^

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)

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and
Expiration Date
(Month/Day/Year)

Date Exercisable

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title

4. Conversion
or Exercise
Price of
Derivative
Security

5. Ownership
Form of
Derivative
Security:
Direct (D)

6. Nature of
Indirect Beneficial
Ownership
(Instr. 5)

Edgar Filing: Shaffer Robert P - Form 3

		Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Phantom Stock ⁽²⁾	Â ⁽³⁾	Â ⁽³⁾	Common Stock	208.76	\$ ⁽³⁾	D	Â
Stock Appreciation Rights	04/20/2010 ⁽⁴⁾	04/20/2020	Common Stock	16,154	\$ 14.8	D	Â
Stock Appreciation Rights	04/19/2011 ⁽⁴⁾	04/19/2021	Common Stock	19,048	\$ 13.36	D	Â
Stock Appreciation Rights	04/17/2012 ⁽⁴⁾	04/17/2022	Common Stock	23,641	\$ 14.36	D	Â
Stock Appreciation Rights	04/16/2013 ⁽⁴⁾	04/16/2023	Common Stock	32,895	\$ 16.15	D	Â
Stock Appreciation Rights	04/15/2014 ⁽⁴⁾	04/15/2024	Common Stock	11,485	\$ 21.63	D	Â
Stock Appreciation Rights	04/14/2015 ⁽⁴⁾	04/14/2025	Common Stock	9,945	\$ 19.01	D	Â
Stock Appreciation Rights	04/19/2016 ⁽⁴⁾	04/19/2026	Common Stock	17,045	\$ 18.11	D	Â
Stock Appreciation Rights	02/03/2017 ⁽⁴⁾	02/03/2027	Common Stock	14,035	\$ 26.52	D	Â
Stock Appreciation Rights	01/29/2018 ⁽⁵⁾	01/29/2028	Common Stock	7,282	\$ 33.17	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Shaffer Robert P 38 FOUNTAIN SQUARE PLAZA CINCINNATI, OH 45263	Â	Â	Â EVP and CHRO	Â

Signatures

/s/ H. Samuel Lind, as Attorney-in-Fact for Robert P.
Shaffer

04/05/2017

__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) Includes 28,583 shares of restricted stock subject to vesting granted pursuant to Fifth Third Bancorp Incentive Compensation Plan and 778.69 shares held under the Fifth Third Bancorp Employee Stock Purchase Plan.
- (2) Acquired pursuant to the Fifth Third Bancorp's Non-Qualified Defined Compensation Plan.

Edgar Filing: Shaffer Robert P - Form 3

- (3) The units of phantom stock are the economic equivalent of Fifth Third Bancorp common stock and are settled in cash after termination of employment.
- (4) Indicates grant date. Stock appreciation rights are exercisable in fourths beginning on the first anniversary of the grant date with one-fourth of the total grant vesting annually over a four-year period.
- (5) Indicates grant date. Stock appreciation rights are exercisable in thirds beginning on the first anniversary of the grant date with one-third of the total grant vesting annually over a three-year period.

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.