

HALLIBURTON CO  
Form 4  
April 04, 2017

**FORM 4**

**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).

**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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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**BENNETT ALAN M**

(Last) (First) (Middle)

**48 FIELD BROOK ROAD**

(Street)

**MADISON, CT 06443**

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
**HALLIBURTON CO [HAL]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**03/31/2017**

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)

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 Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
| Common<br>Stock                       |                                         |                                                             |                                      | (A)<br>or<br>(D)                                                           | 27,236                                                                                                             | D                                                                    |                                                                   |

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  
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SEC 1474  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
**(e.g., puts, calls, warrants, options, convertible securities)**

# Edgar Filing: HALLIBURTON CO - Form 4

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |                     |                    |                 |                                  |
|-----------------------------------------------------|-----------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------|---------------------|--------------------|-----------------|----------------------------------|
|                                                     |                                                                       |                                         |                                                             | Code                                    | V                                                                                                            | (A)                                                            | (D)                                                                 | Date<br>Exercisable | Expiration<br>Date | Title           | Amount or<br>Number of<br>Shares |
| Stock<br>Equivalent<br>Units                        | <u>(1)</u>                                                            | 03/31/2017                              |                                                             | A                                       |                                                                                                              | 769.98<br><u>(2)</u>                                           |                                                                     | <u>(3)</u>          | <u>(3)</u>         | Common<br>Stock | 769.98                           |
| 2016<br>Restricted<br>Stock<br>Units                | <u>(5)</u>                                                            |                                         |                                                             |                                         |                                                                                                              |                                                                |                                                                     | <u>(6)</u>          | <u>(6)</u>         | Common<br>Stock | 4,223.671<br><u>(7)</u>          |
| 2015<br>Restricted<br>Stock<br>Units                | <u>(5)</u>                                                            |                                         |                                                             |                                         |                                                                                                              |                                                                |                                                                     | <u>(6)</u>          | <u>(6)</u>         | Common<br>Stock | 4,590.474<br><u>(7)</u>          |
| 2014<br>Restricted<br>Stock<br>Units                | <u>(5)</u>                                                            |                                         |                                                             |                                         |                                                                                                              |                                                                |                                                                     | <u>(6)</u>          | <u>(6)</u>         | Common<br>Stock | 2,723.393<br><u>(7)</u>          |
| 2013<br>Restricted<br>Stock<br>Units                | <u>(5)</u>                                                            |                                         |                                                             |                                         |                                                                                                              |                                                                |                                                                     | <u>(6)</u>          | <u>(6)</u>         | Common<br>Stock | 3,808.302<br><u>(7)</u>          |
| 2012<br>Restricted<br>Stock<br>Units                | <u>(5)</u>                                                            |                                         |                                                             |                                         |                                                                                                              |                                                                |                                                                     | <u>(6)</u>          | <u>(6)</u>         | Common<br>Stock | 5,635.897<br><u>(7)</u>          |

## Reporting Owners

| Reporting Owner Name / Address                             | Relationships |           |         |       |
|------------------------------------------------------------|---------------|-----------|---------|-------|
|                                                            | Director      | 10% Owner | Officer | Other |
| BENNETT ALAN M<br>48 FIELD BROOK ROAD<br>MADISON, CT 06443 | X             |           |         |       |

## Signatures

Bruce Metzinger, by Power of Attorney

04/04/2017

                    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) The security converts to common stock on a one-for-one basis.
- (2) Stock equivalents acquired under the Halliburton Company Directors' Deferred Compensation Plan reported on a pro rata basis to reflect Issuer's Plan quarter. Said Plan is an ongoing securities acquisition plan.
- (3) The stock equivalent units were accrued under the Company's Directors' Deferred Compensation Plan and are settled in the Company's common stock following cessation as a director.
- (4) A portion of the stock equivalents attributable to quarterly fees and a portion attributable to quarterly dividends are based on the closing price on March 30, 2017 of \$49.02 and March 22, 2017 of \$49.83 respectively.
- (5) Each restricted stock unit represents a right to receive one share of the Company's common stock.
- (6) The restricted stock units vest in four equal annual installments beginning with the first anniversary of the award. Shares will be delivered to the reporting person either upon vesting, or if reporting person elected to defer receipt, following cessation as a director.
- (7) Includes dividend equivalent units through March 31, 2017.

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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