### Edgar Filing: Johnson Carolyn M - Form 4

Johnson Caro Form 4	-										
September 17 FORM Check this	<b>4</b> UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549									Number: 3235-028	
if no longe subject to Section 16 Form 4 or Form 5 obligations may contin <i>See</i> Instruct 1(b).	Filed pu Filed pu Suue. Section 17	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 20(b) of the Investment Company Act of 1940							burden hou response	Estimated average burden hours per response 0.5	
<ul> <li>(Print or Type Responses)</li> <li>1. Name and Address of Reporting Person <u>*</u> Johnson Carolyn M</li> </ul>			2. Issuer Name <b>and</b> Ticker or Trading Symbol Voya Financial, Inc. [VOYA]				g	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last) (First) (Middle) 230 PARK AVENUE (Street) NEW YORK, NY 10169			<ul> <li>3. Date of Earliest Transaction (Month/Day/Year)</li> <li>09/14/2018</li> <li>4. If Amendment, Date Original Filed(Month/Day/Year)</li> </ul>					Director 10% Owner XOfficer (give title Other (specify below) below) See Remarks			
								6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person			
(City)	(State)	(Zip)	Table	e I - Non-De	erivative S	ecurit	ties Aco	quired, Disposed o	f, or Beneficial	lly Owned	
1.Title of Security (Instr. 3)	2. Transaction Da (Month/Day/Year	r) Executio any	med n Date, if Day/Year)	3. Transactio Code (Instr. 8) Code V	Disposed (Instr. 3, 4	(A) of (D	)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
Common Stock								13,749	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 required to respond unless the form displays a currently valid OMB control number.

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactio Code (Instr. 8)	5. Number or of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exer Expiration E (Month/Day	ate			8. l De See (In
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Deferred Savings Plan Issuer Stock Units	<u>(1)</u>	09/14/2018		A	9.28	<u>(1)</u>	<u>(1)</u>	Common Stock	9.28	\$
Performance Stock Unit	<u>(2)</u>					(2)	(2)	Common Stock	34,190 (3)	
Restricted Stock Units	<u>(2)</u>					(2)	(2)	Common Stock	20,589	

### Edgar Filing: Johnson Carolyn M - Form 4

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
1 8	Director	10% Owner	Officer	Other			
Johnson Carolyn M 230 PARK AVENUE NEW YORK, NY 10169			See Remarks				
Signatures							

/s/ Jean Weng, Attorney in Fact 09/17/2018 \*\*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) Each of these units represents a right to receive the cash value of one share of the company's common stock upon the reporting person's separation from the company. The reporting person may reallocate investments in these units to alternative investments in the future.

(2) The stock units will vest based on their respective award agreements.

The number of shares of common stock that will be delivered for each performance stock unit depends on the achievement of certain(3) performance factors. Depending on actual performance, the number of shares of common stock delivered upon the vesting date can range from 0% to 150% of the number presented above.

#### **Remarks:**

CEO, Annuities and Individual Life

## Edgar Filing: Johnson Carolyn M - Form 4

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.