

Intercontinental Exchange, Inc.

Form 4

September 19, 2014

**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

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Sprecher Jeffrey C

(Last) (First) (Middle)

2100 RIVEREDGE  
PARKWAY, SUITE 500

(Street)

ATLANTA, GA 30328

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading  
Symbol

Intercontinental Exchange, Inc. [ICE]

3. Date of Earliest Transaction  
(Month/Day/Year)

09/17/2014

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)

Chief Executive Officer

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 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 Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership Indirect Beneficial Ownership (Instr. 4)
Common Stock	09/17/2014		M	(A) Amount 20,000 (1)	Price \$ 104.23	292,716	D
Common Stock	09/17/2014		S	(D) Amount 20,000 (1)	\$ 200	272,716	D
Common Stock	09/17/2014		G	(D) Amount 2,500 (1) (2)	\$ 0	270,216	D
Common Stock	09/17/2014		M	(A) Amount 627 (1)	\$ 112.48	270,843	D
Common Stock	09/17/2014		M	(A) Amount 262 (1)	\$ 112.15	271,105 (3)	D

Edgar Filing: Intercontinental Exchange, Inc. - Form 4

Common Stock	09/17/2014	S	50,000 (1)	D	\$ 200	923,341 (4)	I	CPEX
Common Stock	09/17/2014	M	3,000 (1)	A	\$ 104.23	28,516 (5)	I	By spouse
Common Stock	09/17/2014	S	5,000 (1)	D	\$ 200	23,516 (5)	I	By spouse
Common Stock	09/17/2014	M	664 (1)	A	\$ 112.48	24,180 (5)	I	By spouse
Common Stock	09/17/2014	M	77 (1)	A	\$ 112.15	24,257 (5) (6)	I	By spouse

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 1474  
(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 (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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Employee Stock Option (right to buy) Holding	\$ 104.23	09/17/2014		M	20,000	(7) 12/22/2016	Common Stock 20,000
Employee Stock Option (right to buy) Holding	\$ 104.23	09/17/2014		M	3,000	(7) 12/22/2016	Common Stock 3,000
Employee Stock Option (right to	\$ 112.15	09/17/2014		M	262	(7) 01/17/2022	Common Stock 262

buy) Holding									
Employee Stock Option (right to buy) Holding	\$ 112.15	09/17/2014	M	77	<u>(7)</u>	01/17/2022	Common Stock	77	
Employee Stock Option (right to buy) Holding	\$ 112.48	09/17/2014	M	627	<u>(7)</u>	01/11/2021	Common Stock	627	
Employee Stock Option (right to buy) Holding	\$ 112.48	09/17/2014	M	664	<u>(7)</u>	01/11/2021	Common Stock	664	

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Sprecher Jeffrey C 2100 RIVEREDGE PARKWAY SUITE 500 ATLANTA, GA 30328	X		Chief Executive Officer	

## Signatures

/s/ Andrew J. Surdykowski,  
Attorney-in-fact

09/19/2014

\*\*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 sales reported in this Form 4 were effected pursuant to a previously announced, pre-arranged trading plan established in accordance with Rule 10b5-1 of the Securities Act of 1934, as amended.
- (2) This transaction involved a gift of 2,500 shares of the issuer's Common stock by the reporting person to a philanthropic organization.
- (3) The common stock number referred in Table I is an aggregate number and represents 247,603 shares of common stock and 23,502 unvested performance based restricted stock units, for which the performance period has been satisfied. The performance based restricted stock units vest over a three year period, in which 33.33% of the performance based restricted stock units vest each year. The satisfaction of the performance target for the 2014 performance based restricted stock units and the corresponding number of shares of common stock to be issued pursuant to that award will not be determined until February 2015 and will be reported at that

## Edgar Filing: Intercontinental Exchange, Inc. - Form 4

time.

(4) These shares are beneficially owned directly by Continental Power Exchange, Inc. ("CPEX"). Mr. Sprecher beneficially owns 100% of the equity interest in CPEX directly. Additionally, as previously reported, the reporting person also owns share directly and indirectly own shares that are beneficially owned directly by the reporting person's spouse for which the reporting person disclaims beneficial ownership.

(5) As previously reported, the reporting person also indirectly owns 923,341 shares that are beneficially owned directly by CPEX. The reporting person beneficially owns 100% of the equity interest in CPEX. Additionally, as previously reported, the reporting person also beneficially owns shares directly.

(6) The common stock number referred in Table I is an aggregate number and represents 20,760 shares of common stock, 2,819 unvested performance based restricted stock units, for which the performance period has been satisfied, and 678 unvested restricted stock units of the Issuer. The performance based restricted stock units vest over a three year period, in which 33.33% of the performance based restricted stock units vest each year. The satisfaction of the performance target for the 2014 performance based restricted stock units and the corresponding number of shares of common stock to be issued pursuant to that award will not be determined until February 2015 and will be reported at that time.

(7) These options are fully vested.

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.