

Rogers Ronald G.
Form 4
March 06, 2018

FORM 4

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

OMB APPROVAL

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

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Rogers Ronald G.

2. Issuer Name and Ticker or Trading Symbol
Dr Pepper Snapple Group, Inc.
[DPS]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction
(Month/Day/Year)
03/02/2018

Director 10% Owner
 Officer (give title below) Other (specify below)

872 WHITTIER CRESCENT

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)

Form filed by One Reporting Person
 Form filed by More than One Reporting Person

MISSISSAUGA
ONTARIO, A6 L5H2X3

(City) (State) (Zip)

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 Indirect Beneficial Ownership (Instr. 4)	
				Code	V	Amount				(A) or (D)
Common Stock	03/02/2018		M ⁽¹⁾			1,641	\$ 0	1,641	D	
Common Stock	03/02/2018		J ⁽²⁾			121	\$ 0	1,762	D	
Common Stock	03/02/2018		J ⁽³⁾			1,762	\$ 0	0 ⁽⁴⁾	D	
Common Stock	03/02/2018		J ⁽³⁾			1,762	\$ 0	16,232 ⁽⁴⁾	I	Kent -He Winery and Vineyards Ltd.

Edgar Filing: Rogers Ronald G. - Form 4

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)	Amount or Number of Shares
				Code V (A) (D)		Date Exercisable Expiration Date	Title	
Restricted Stock Unit	\$ 0 ⁽⁵⁾	03/02/2018		A	1,247	⁽⁶⁾ ⁽⁶⁾	Common Stock	1,247
Restricted Stock Unit	\$ 0 ⁽⁵⁾	03/02/2018		M ⁽¹⁾	1,641	⁽⁷⁾ ⁽⁷⁾	Common Stock	1,641

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Rogers Ronald G.
872 WHITTIER CRESCENT
MISSISSAUGA ONTARIO, A6 L5H2X3

X

Signatures

Wayne R. Lewis, attorney
in fact 03/06/2018

 **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) These shares represent restricted stock units granted pursuant to the Issuer's Omnibus Stock Incentive Plan of 2009 that vested on March 2, 2018.
- (2) These shares are restricted stock units (acquired with dividend equivalent payments made under the Issuer's dividend reinvestment plan with respect to the shares referenced in footnote (1) above) that vested on March 2, 2018.
- (3) The reporting person directed that 1,762 shares beneficially owned by reporting person be transferred to Keint-He Winery and Vineyards Ltd., an Ontario corporation (the "Corporation"). The reporting person is the controlling stockholder of the Corporation and has a pecuniary interest in the Corporation's holdings of the Issuers securities.

Edgar Filing: Rogers Ronald G. - Form 4

- (4) Kent-He Winery and Vineyards, Ltd., an Ontario corporation (the "Corporation"), beneficially owns 16,232 shares and the reporting person is the controlling stockholder of the Corporation and has a pecuniary interest in the Corporation's holdings of the Issuer's securities.
- (5) Each restricted stock unit represents a contingent right to receive one share of the Issuer's Common Stock and is granted pursuant to the Issuer's Omnibus Stock Incentive Plan of 2009.
- (6) These restricted stock units vest in one installment on March 4, 2021 and will be settled in shares of the Issuer's Common Stock on the vesting date.
- (7) These restricted stock units vest in one installment three years from the date of grant and will be settled in shares of the Issuer's Common Stock on the vesting date.

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.