

Shattock Matthew J
Form 3
October 06, 2011

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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 *

Â Shattock Matthew J

(Last) (First) (Middle)

BEAM INC.,Â 510 LAKE
COOK ROAD

(Street)

DEERFIELD,Â ILÂ 60015

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

10/03/2011

3. Issuer Name and Ticker or Trading Symbol
BEAM INC [NYSE: BEAM]

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)

President & CEO

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)

Beam Inc. Common Stock

4,863

D Â

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

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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)

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)

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy) ⁽¹⁾	Â ⁽²⁾	09/30/2016	Beam Inc. Common Stock	62,000	\$ 42.98	D	Â
Employee Stock Option (Right to Buy) ⁽¹⁾	Â ⁽³⁾	02/22/2017	Beam Inc. Common Stock	44,300	\$ 43.67	D	Â
Employee Stock Option (Right to Buy) ⁽¹⁾	Â ⁽⁴⁾	02/22/2021	Beam Inc. Common Stock	41,600	\$ 61.54	D	Â
Restricted Stock Unit ⁽¹⁾	Â ⁽⁵⁾	Â ⁽⁵⁾	Beam Inc. Common Stock	14,300	\$ ⁽⁶⁾	D	Â
Restricted Stock Unit ⁽¹⁾	Â ⁽⁷⁾	Â ⁽⁷⁾	Beam Inc. Common Stock	13,300	\$ ⁽⁶⁾	D	Â
Restricted Stock Unit ⁽¹⁾	Â ⁽⁸⁾	Â ⁽⁸⁾	Beam Inc. Common Stock	15,200	\$ ⁽⁶⁾	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Shattock Matthew J BEAM INC. 510 LAKE COOK ROAD DEERFIELD, IL 60015	Â X	Â	Â President & CEO	Â

Signatures

Todd M. Bloomquist, as Attorney-in-Fact for Matthew J. Shattock

10/06/2011

⁽¹⁾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).

As a result of the Issuer's spin-off of Fortune Brands Home & Security, Inc. on October 3, 2011, these securities are subject to an intrinsic value adjustment as described in the Issuer's Long-Term Incentive Plans and the Employee Matters Agreement dated as of September 28, 2011.

(2) The options vest in three equal annual installments beginning on September 30, 2010.

(3) The options vest in three equal annual installments beginning on February 22, 2011.

(4) The options vest in three equal annual installments beginning on February 22, 2012.

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- (5) Payment of the award will be made on or about January 31, 2012 if Mr. Shattock remains employed through such date, subject to special provisions in the event of death, disability or termination following a change in control.
- (6) Each restricted stock unit represents a contingent right to receive one share of Beam Inc. common stock.
- (7) Payment of the award will be made on or about January 31, 2013 if Mr. Shattock remains employed through such date, subject to special provisions in the event of death, disability or termination following a change in control.
- (8) Payment of the award will be made on or about January 31, 2014 if Mr. Shattock remains employed through such date, subject to special provisions in the event of death, disability or termination following a change in control.

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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