

APPLE INC  
Form 4  
January 27, 2014

**FORM 4**

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

OMB APPROVAL

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**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 \*  
Riccio Daniel J.

(Last) (First) (Middle)

1 INFINITE LOOP

(Street)

CUPERTINO, CA 95014

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
APPLE INC [AAPL]

3. Date of Earliest Transaction (Month/Day/Year)  
01/23/2014

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)  
Senior Vice President

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 Indirect Beneficial Ownership (Instr. 4) |       |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|-------|
|                                 |                                      |  |                                | Code  | V   | Amount   | (A) or (D)  | Price |
| Common Stock                    | 01/23/2014                           |  | S <sup>(1)</sup>               | 301   | D   | \$ 545.62  | 8,891   | D     |
| (2)                             |                                      |  |                                |   |   |  |   |       |
| Common Stock                    | 01/23/2014                           |  | S <sup>(1)</sup>               | 625   | D   | \$ 546.97  | 8,266   | D     |
| (3)                             |                                      |  |                                |   |   |  |   |       |
| Common Stock                    | 01/23/2014                           |  | S <sup>(1)</sup>               | 500   | D   | \$ 547.73  | 7,766   | D     |
| (4)                             |                                      |  |                                |   |   |  |   |       |
| Common Stock                    | 01/23/2014                           |  | S <sup>(1)</sup>               | 300   | D   | \$ 549.98  | 7,466   | D     |

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|              |            |                  |     |   | (5)       |       |   |
|--------------|------------|------------------|-----|---|-----------|-------|---|
| Common Stock | 01/23/2014 | S <sup>(1)</sup> | 200 | D | \$ 551.46 | 7,266 | D |
|              |            |                  |     |   | (6)       |       |   |
| Common Stock | 01/23/2014 | S <sup>(1)</sup> | 300 | D | \$ 552.77 | 6,966 | D |
|              |            |                  |     |   | (7)       |       |   |
| Common Stock | 01/23/2014 | S <sup>(1)</sup> | 500 | D | \$ 554.42 | 6,466 | D |
|              |            |                  |     |   | (8)       |       |   |
| Common Stock | 01/23/2014 | S <sup>(1)</sup> | 338 | D | \$ 555.56 | 6,128 | D |
|              |            |                  |     |   | (9)       |       |   |

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

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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)

| 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) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Owned Beneficially (Instr. 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                                      | Amount or Number of Shares                                       |

## Reporting Owners

| Reporting Owner Name / Address                             | Relationships |           |                       |       |
|--|---------------|-----------|-----------------------|-------|
|  | Director      | 10% Owner | Officer               | Other |
| Riccio Daniel J.<br>1 INFINITE LOOP<br>CUPERTINO, CA 95014 |               |           | Senior Vice President |       |

## Signatures

/s/ Gene Levoff, Attorney-in-fact for Daniel J.  
Riccio

01/27/2014

\_\_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) This transaction was made pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on August 26, 2013.  
This transaction was executed in multiple trades at prices ranging from \$545.28 to \$545.83; the price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide full information regarding the number of shares and prices at which the transactions were effected upon request to the SEC staff, the Registrant, or a security holder of the Registrant.
  - (3) This transaction was executed in multiple trades at prices ranging from \$546.47 to \$547.37; the price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide full information regarding the number of shares and prices at which the transactions were effected upon request to the SEC staff, the Registrant, or a security holder of the Registrant.
  - (4) This transaction was executed in multiple trades at prices ranging from \$547.50 to \$548.00; the price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide full information regarding the number of shares and prices at which the transactions were effected upon request to the SEC staff, the Registrant, or a security holder of the Registrant.
  - (5) This transaction was executed in multiple trades at prices ranging from \$549.61 to \$550.60; the price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide full information regarding the number of shares and prices at which the transactions were effected upon request to the SEC staff, the Registrant, or a security holder of the Registrant.
  - (6) This transaction was executed in multiple trades at prices ranging from \$551.18 to \$551.73; the price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide full information regarding the number of shares and prices at which the transactions were effected upon request to the SEC staff, the Registrant, or a security holder of the Registrant.
  - (7) This transaction was executed in multiple trades at prices ranging from \$552.30 to \$553.045; the price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide full information regarding the number of shares and prices at which the transactions were effected upon request to the SEC staff, the Registrant, or a security holder of the Registrant.
  - (8) This transaction was executed in multiple trades at prices ranging from \$554.00 to \$554.79; the price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide full information regarding the number of shares and prices at which the transactions were effected upon request to the SEC staff, the Registrant, or a security holder of the Registrant.
  - (9) This transaction was executed in multiple trades at prices ranging from \$555.44 to \$555.63; the price reported above reflects the weighted average sale price. The reporting person hereby undertakes to provide full information regarding the number of shares and prices at which the transactions were effected upon request to the SEC staff, the Registrant, or a security holder of the Registrant.

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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