

BRISTOL MYERS SQUIBB CO

Form 4

March 14, 2016

**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

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Schmukler Louis S

(Last) (First) (Middle)

BRISTOL-MYERS SQUIBB  
COMPANY, 345 PARK AVENUE

(Street)

NEW YORK, NY 10154

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol

BRISTOL MYERS SQUIBB CO  
[BMY]

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

03/10/2016

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_X\_ Officer (give title \_\_\_\_ Other (specify  
below) below)  
Pres., Global Mfg. & Supply

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_X\_ 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<br>Security<br>(Instr. 3)   | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---|---|---|---|---|--|--|---|
| Common<br>Stock,<br>\$0.10 par<br>value | 03/10/2016                              |   | M                                       | 2,739 <sup>(1)</sup>  | A \$ 0 28,328.309  | D  |   |
| Common<br>Stock,<br>\$0.10 par<br>value | 03/10/2016                              |   | J                                       | 1,885 <sup>(2)</sup>  | A \$ 0 30,213.309  | D  |   |
| Common<br>Stock,<br>\$0.10 par          | 03/10/2016                              |   | F                                       | 2,082 <sup>(3)</sup>  | D \$ 28,131.309  | D  |   |

64.94

value

Common  
Stock,  
\$0.10 par  
value

03/10/2016

M

2,547 <sup>(4)</sup>

A

\$ 0

30,678.309

D

Common  
Stock,  
\$0.10 par  
value

03/10/2016

J

360 <sup>(2)</sup>

A

\$ 0

31,038.309

D

Common  
Stock,  
\$0.10 par  
value

03/10/2016

F

1,309 <sup>(3)</sup>

D

\$  
64.94

29,729.309

D

Common  
Stock,  
\$0.10 par  
value

03/10/2016

M

2,196 <sup>(5)</sup>

A

\$ 0

31,925.309

D

Common  
Stock,  
\$0.10 par  
value

03/10/2016

J

34 <sup>(6)</sup>

D

\$ 0

31,891.309

D

Common  
Stock,  
\$0.10 par  
value

03/10/2016

F

974 <sup>(3)</sup>

D

\$  
64.94

30,917.309

D

Common  
Stock,  
\$0.10 par  
value

03/10/2016

M

24,142.158  
<sup>(7)</sup>

A

\$ 0

55,059.467

D

Common  
Stock,  
\$0.10 par  
value

03/10/2016

F

10,870 <sup>(3)</sup>

D

\$  
64.94

44,189.467

D

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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number of Derivative<br>Securities Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7.<br>Un-<br>(In |
|---|---|---|---|---|--|--|------------------|
|---|---|---|---|---|--|--|------------------|

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|                    | Derivative Security |            | Code | V | (A)               | (D)               | Date Exercisable | Expiration Date | Tit     |
|--------------------|---------------------|------------|------|---|-------------------|-------------------|------------------|-----------------|---------|
| Market Share Units | (8)                 | 03/10/2016 | M    |   |                   | 2,739             | (1)              | 03/10/2017(1)   | C<br>\$ |
| Market Share Units | (8)                 | 03/10/2016 | M    |   |                   | 2,547             | (4)              | 03/10/2018(4)   | C<br>\$ |
| Market Share Units | (8)                 | 03/10/2016 | M    |   |                   | 2,196             | (5)              | 03/10/2019(5)   | C<br>\$ |
| Market Share Units | (8)                 | 03/10/2016 | A    |   | 10,617            |                   | (9)              | 03/10/2020(9)   | C<br>\$ |
| Performance Shares | (10)                | 03/10/2016 | A    |   | 15,926            |                   | (10)             | 03/10/2019(10)  | C<br>\$ |
| Performance Shares | (11)                | 03/10/2016 | A    |   | 9,177.325<br>(12) |                   | (11)             | 03/10/2016(11)  | C<br>\$ |
| Performance Shares | (13)                | 03/10/2016 | J    |   | 553.478<br>(14)   |                   | (13)             | 03/10/2016(13)  | C<br>\$ |
| Performance Shares | (11)                | 03/10/2016 | M    |   |                   | 24,142.158<br>(7) | (11)             | 03/10/2016(11)  | C<br>\$ |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                             |       |
|--|---------------|-----------|-----------------------------|-------|
|  | Director      | 10% Owner | Officer                     | Other |
| Schmukler Louis S<br>BRISTOL-MYERS SQUIBB COMPANY<br>345 PARK AVENUE<br>NEW YORK, NY 10154 |               |           | Pres., Global Mfg. & Supply |       |

## Signatures

/s/ Katherine Kelly, attorney-in-fact for Louis S. Schmukler

03/14/2016

\_\_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) Represents vesting of one-quarter of market share units granted on March 10, 2013.
- (2) Adjustment reflects additional shares acquired upon the vesting of market share units due to the performance factor.
- (3) Shares withheld for payment of taxes upon vesting of awards.
- (4) Represents vesting of one-quarter of market share units granted on March 10, 2014.
- (5) Represents vesting of one-quarter of market share units granted on March 10, 2015.
- (6) Represents a downward adjustment to the number of shares acquired upon the vesting of market share units due to the performance factor.
- (7) Represents distribution of performance shares earned under the 2013-2015 Long-Term Performance Award.

(8) Each market share unit converts into the number of shares of common stock determined by applying a payout factor to the target number of shares vesting on a given date. The payout factor is a ratio of the average of the closing price on the measurement date plus the nine prior trading days divided by the average stock price on the grant date (also a 10-day average). The minimum payout factor that must be achieved to earn a payout is 60% and the maximum payout factor is 200%.

- (9) Twenty-five percent of the market share unit award will vest on each of the first, second, third and fourth anniversaries of the grant date.
- (10) Each performance share converts into one share of common stock upon distribution in the first quarter of 2019.
- (11) Each performance share converts into one share of common stock upon distribution in the first quarter of 2016.
- (12) Represents performance shares earned under the 2013-2015 Long-Term Performance Award.
- (13) Each dividend equivalent converts into one share of common stock upon distribution in the first quarter of 2016.
- (14) Represents dividend equivalents earned under the 2013-2015 Long-Term Performance Award.

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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