

FETTIG JEFF M
Form 4
November 15, 2018

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 *
FETTIG JEFF M

(Last) (First) (Middle)

**WHIRLPOOL
CORPORATION, 2000 M-63N**

(Street)

BENTON HARBOR, MI 49022

(City) (State) (Zip)

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

WHIRLPOOL CORP /DE/ [WHR]

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

11/13/2018

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)

Chairman of the Board

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)
Common Stock	03/07/2018		G	V 4,311	D \$ 0 0	D	
Common Stock	03/07/2018		G	V 4,311	A \$ 0 10,328	I	By trust for reporting person
Common Stock	03/27/2018		G	V 17,900	D \$ 0 17,900	I	By 3/16/2016 GRAT
Common Stock	03/27/2018		G	V 17,900	A \$ 0 28,228	I	By trust for reporting person and

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Common Stock	04/02/2018	G	V	28,000	D	\$ 0	228	I	spouse By trust for reporting person and spouse
Common Stock	04/02/2018	G	V	28,000	A	\$ 0	28,000	I	By 4/02/2018 GRAT
Common Stock	05/15/2018	G	V	190	D	\$ 0	38	I	By trust for reporting person and spouse
Common Stock	11/01/2018	G	V	71,862	D	\$ 0	38,138	I	By 11/01/2017 GRAT
Common Stock	11/01/2018	G	V	71,862	A	\$ 0	71,900	I	By trust for reporting person and spouse
Common Stock	11/01/2018	G	V	56,974	D	\$ 0	0	I	By 10/27/2016 GRAT
Common Stock	11/01/2018	G	V	56,974	D	\$ 0	128,874	I	By trust for reporting person and spouse
Common Stock	11/13/2018	M ⁽¹⁾		300,000	A	\$ 31.82	300,000	D	
Common Stock	11/13/2018	F ⁽²⁾		95,212	D	\$ 116.95	204,788	D	
Common Stock	11/13/2018	F ⁽³⁾		81,625	D	\$ 116.95	47,249	I	By trust for reporting person and spouse
Common Stock							7,980.678	I	401(k) Stock Fund

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

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(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

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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 Number Shares
Employee Stock Option (Right to Buy)	\$ 31.82	11/13/2018		M	300,000	(4) 02/16/2019	Common Stock 300,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
FETTIG JEFF M WHIRLPOOL CORPORATION 2000 M-63N BENTON HARBOR, MI 49022	X		Chairman of the Board	

Signatures

/s/Bridget K. Quinn,
Attorney-in-Fact

11/15/2018

__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) Mr. Fettig exercised an employee stock option that was due to expire on February 16, 2019 resulting in his net acquisition of 123,163 shares.
- (2) Shares withheld for taxes.
- (3) Shares tendered by attestation in payment of the exercise price.
- (4) Options vested and became exercisable as follows: one third on 2/16/2010; One third on 02/16/2011; one third on 02/16/2012.

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.