

FRANKLIN RESOURCES INC  
Form 4  
November 06, 2013

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

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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 \*  
JOHNSON GREGORY E

2. Issuer Name and Ticker or Trading Symbol  
FRANKLIN RESOURCES INC  
[BEN]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
11/04/2013

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
Chairman, CEO and President

C/O FRANKLIN RESOURCES, INC., ONE FRANKLIN PARKWAY

(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

SAN MATEO, CA 94403-1906

(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)   | Price   |
| Common Stock, par value \$ .10  | 11/04/2013                           |  | M                              |   | 25,314  | A  | \$ 15.16  |
| Common Stock, par value \$ .10  | 11/04/2013                           |  | S                              |   | 25,314  | D  | \$ 53.7411 <sup>(1)</sup>                             |
| Common Stock, par value \$ .10  | 11/04/2013                           |  | A                              |   | 155,234   | A  | \$ 53.79  |
|                                 |                                      |  |                                |   |   |  | 1,731,584   |
|                                 |                                      |  |                                |   |   |  | 1,706,270   |
|                                 |                                      |  |                                |   |   |  | 1,861,504 <sup>(2)</sup>                              |

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value  
\$.10

Common  
Stock, par  
value  
\$.10

11/04/2013

A

29,950  
(3)

A

\$ 0 (4)

1,891,454  
(2)

D

Common  
Stock, par  
value  
\$.10

60,930

I

As A  
Trustee For  
Minor  
Child (5)

Common  
Stock, par  
value  
\$.10

4,700.158

I

By 401(k)  
(6)

Common  
Stock, par  
value  
\$.10

2,565,000

I

By  
Business  
Limited  
Partnership  
(7)

Common  
Stock, par  
value  
\$.10

8,100

I

By  
Business  
Trust (8)

Common  
Stock, par  
value  
\$.10

15,564

I

By Spouse  
(9)

Common  
Stock, par  
value  
\$.10

396,000

I

By Venture  
Limited  
Partnership  
(10)

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, | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|--|--|---|
|--|--|--------------------------------------|--|--------------------------------|--|--|---|

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and 5)

|                             | Code     | V | (A)        | (D) | Date Exercisable | Expiration Date       | Title                         | Amount or Number of Shares |
|-----------------------------|----------|---|------------|-----|------------------|-----------------------|-------------------------------|----------------------------|
| Stock Option (Right to Buy) | \$ 15.16 |   | 11/04/2013 | M   | 25,314           | 09/30/2004 11/11/2013 | Common Stock, par value \$.10 | 25,314                     |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                                   |       |
|---|---------------|-----------|-----------------------------------|-------|
|   | Director      | 10% Owner | Officer                           | Other |
| JOHNSON GREGORY E<br>C/O FRANKLIN RESOURCES, INC.<br>ONE FRANKLIN PARKWAY<br>SAN MATEO, CA 94403-1906 | X             |           | Chairman,<br>CEO and<br>President |       |

## Signatures

/s/ Maria Gray,  
Attorney-in-Fact

11/06/2013

\_\_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) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$53.66 to \$53.82, inclusive. The Reporting Person undertakes to provide to the Issuer, any security holder of the Issuer, or the staff on the Securities Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (2) Of the amount of securities beneficially owned, 328,574 shares represent unvested restricted stock awards (excluding the unvested restricted stock units scheduled to vest on November 29, 2013 as reported in footnote 3).
- (3) On November 2, 2010, November 3, 2011 and November 5, 2012, the Reporting Person was granted certain restricted stock units subject to vesting over a three-year period based upon satisfaction of certain performance criteria. On November 4, 2013, the Issuer's Compensation Committee certified that certain performance criteria with respect to the Issuer's fiscal year ended September 30, 2013 were achieved, and therefore the amount of shares reported in Column 4 are scheduled to vest on November 29, 2013.
- (4) Not applicable.
- (5) Shares held by Reporting Person as trustee for Reporting Person's minor children. Reporting Person disclaims beneficial ownership of such shares.
- (6) Reporting Person holds shares in the Franklin Templeton 401(k) Retirement Plan. Information is based on a plan statement as of October 15, 2013.
- (7) Business limited partnership under control of Reporting Person.
- (8) Business trust for the benefit of Reporting Person and Reporting Person's children.
- (9) Shares held by Reporting Person's spouse. Reporting Person disclaims beneficial ownership of such shares.
- (10) Limited partnership under control of Reporting Person, and owned in part by irrevocable trusts for the benefit of Reporting Person's children. Reporting Person disclaims beneficial ownership of the children's trusts.

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