Intercontinental Exchange, Inc.
Form 4
November 04, 2015

| RM 4 |  | OMB APPROVAL |
| :---: | :---: | :---: |
|  | UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 | OMB Number: 3235-0287 |
| Check this box if no longer |  | Expires: January 31, |
| subject to | STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF |  |
| Section 16. | SECURITIES | burden hours per |
| Form 4 or |  | response... 0.5 |
| Form 5 obligations may continue. | 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 |  |
| See Instruction | 30(h) of the Investment Company Act of 1940 |  |
| 1(b). |  |  |

(Print or Type Responses)


[^0]Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

| 1. Title of Derivative Security (Instr. 3) | 2. <br> Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. <br> 5. Number Transactionf Derivative Code Securities (Instr. 8) Acquired <br> (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 |  | (D) | Date <br> Exercisable | Expiration <br> Date | Title | Amount or Number of Shares |
| Employee Stock |  |  |  |  |  |  |  |  |  |  |
| Option <br> (right to <br> buy) <br> Holding | \$ 106 | 11/02/2015 |  | M |  | 1,500 | (5) | 12/10/2019 | Common Stock | 1,500 |

## Reporting Owners

Reporting Owner Name / Address

Relationships
Director $10 \%$ Owner Officer Other

Vice Charles A
5660 NEW NORTHSIDE DRIVE President\&Chief Op. Officer
ATLANTA, GA 30328

## Signatures

/s/Andrew J. Surdykowski,
Attorney-in-fact
11/04/2015
${ }_{-}^{* *}$ 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. $78 \mathrm{ff}(\mathrm{a})$.
(1) The sales reported in this Form 4 were effected pursuant to a pre-arranged trading plan established in accordance with Rule 10b5-1 of the Securities Act of 1934, as amended.

The price range for the aggregate amount sold by the direct holder is $\$ 257.49$ - $\$ 258.40$. The Issuer will upon request by the Staff of the
(2) U.S. Securities and Exchange Commission or a security holder of the Issuer provide the full information regarding the number of shares sold at each separate price.

## Edgar Filing: Intercontinental Exchange, Inc. - Form 4

The price range for the aggregate amount sold by the direct holder is $\$ 260.32$ - $\$ 260.37$. The Issuer will upon request by the Staff of the
(3) U.S. Securities and Exchange Commission or a security holder of the Issuer provide the full information regarding the number of shares sold at each separate price.

The common stock number referred in Table I is an aggregate number and represents 26,689 shares of common stock and 15,635 unvested performance based restricted stock units, for which the performance period has been satisfied. These performance based
(4) restricted stock units vest over a three year period, in which $33.33 \%$ of the performance based restricted stock units vest each year. The satisfaction of the performance target for the 2015 performance based restricted stock units and the one-time NYSE merger-related performance based restricted stock units, and the corresponding number of shares of common stock to be issued pursuant to these awards, will not be determined until February 2016 and February 2017, respectively, and will be reported at those times.
(5) These options are fully vested.

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.


[^0]:    Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

