Edgar Filing: AES CORP - Form 4

AES CORP Form 4 November 12, FORM Check this if no longer subject to Section 16. Form 4 or Form 5 obligations may contin <i>See</i> Instruct 1(b).	4 UNITED S	V ENT OF CHA	Vashington ANGES IN SECUI 1 16(a) of th Utility Hol	, D.C. 20 BENEF RITIES ne Securit ding Con	549 ICIA ies E ipany	L OWI	1935 or Section	OMB Number: Expires: Estimated a burden hou response	•	
(Print or Type Re	esponses)									
Chilton Michael Sy							5. Relationship of Reporting Person(s) to Issuer			
(Last)	(First) (M	liddle) 3. Dat	3. Date of Earliest Transaction			(Check all applicable)				
			(Month/Day/Year) 11/10/2015				Director 10% Owner X Officer (give title Other (specify below) below) Sr. VP Global Engr & Const			
			4. If Amendment, Date Original Filed(Month/Day/Year)			 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting 				
							Person			
(City)	(State) ((Zip) T	able I - Non-l	Derivative	Securi	ities Acq	uired, Disposed of	, or Beneficial	ly Owned	
	2. Transaction Date (Month/Day/Year)		Code ur) (Instr. 8)	4. Securi on(A) or Di (Instr. 3,	sposed	d of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
Common Stock	11/10/2015		Ι	8,458 (1)	A	\$ 10.05	13,886 <u>(2)</u>	Ι	by 401(k)	
Common Stock							58,205	D		
Common Stock							104	Ι	by IRA	

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

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

Edgar Filing: AES CORP - Form 4

number.

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. Transacti Code (Instr. 8)	5. Number ionof Derivativ Securities Acquired (A) or Disposed or (D) (Instr. 3, 4, and 5)	(Month/Day	Date	7. Title and A Underlying S (Instr. 3 and	Securities	8. Prico Deriva Securit (Instr.
				Code V	′ (A) (I	Date Exercisable D)	Expiration Date	Title	Amount or Number of Shares	
Units	(3)	11/10/2015		Ι	3,515	(3)	(3)	Common Stock	3,515	\$ 10.

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Chilton Michael 4300 WILSON BOULEVARD ARLINGTON, VA 22203			Sr. VP Global Engr & Const				

Signatures

/s/ Michael	
Chilton	11/12/2015
<u>**</u> 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) On November 10, 2015, this reporting person acquired 8,458 shares of AES Common Stock through The AES Corporation Retirement Savings Plan (the "Plan").
- (2) Includes 962 shares of AES Common Stock that this reporting person acquired under the Plan between February 21, 2015 and November 9, 2015.
- These units were acquired under the Restoration Supplemental Retirement Plan ("Restoration Plan"). Generally, units under this plan are
- (3) paid out in cash following termination of employment or later as provided under the terms of the Restoration Plan. Each unit represents a hypothetical AES investment equal to one share of AES Common Stock and units under the Restoration Plan are 100% 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.