

APPLE INC
Form 4
October 17, 2013

FORM 4

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

OMB APPROVAL

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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 *
Riccio Daniel J.

(Last) (First) (Middle)

1 INFINITE LOOP

(Street)

CUPERTINO, CA 95014

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
APPLE INC [AAPL]

3. Date of Earliest Transaction (Month/Day/Year)
10/15/2013

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)
Senior Vice President

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) | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|---|
| | | | | (A) or (D) | Price | | | |
| Common Stock | 10/15/2013 | | M | 3,750 | A | 11 | 3,750 | D |
| Common Stock <u>(2)</u> | 10/15/2013 | | F | 1,907 | D | \$ 498.68 | 1,843 | D |
| Common Stock | 10/15/2013 | | M | 1,875 | A | 11 | 3,718 | D |
| Common Stock <u>(2)</u> | 10/15/2013 | | F | 954 | D | \$ 498.68 | 2,764 | D |
| Common Stock | 10/15/2013 | | M | 2,500 | A | 11 | 5,264 | D |

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Common Stock ⁽²⁾ 10/15/2013 F 1,271 D \$ 498.68 3,993 D

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)

| 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) | 8. Price or Value of Underlying Securities (Instr. 3 and 4) | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|---|----------------------------|
| | | | | | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| | | | | | | Code | V | (A) | (D) |
| Restricted Stock Unit | <u>(1)</u> | 10/15/2013 | | M | 3,750 | <u>(3)</u> | <u>(3)</u> | Common Stock | 3,750 |
| Restricted Stock Unit | <u>(1)</u> | 10/15/2013 | | M | 1,875 | <u>(4)</u> | <u>(4)</u> | Common Stock | 1,875 |
| Restricted Stock Unit | <u>(1)</u> | 10/15/2013 | | M | 2,500 | <u>(5)</u> | <u>(5)</u> | Common Stock | 2,500 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|-----------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Riccio Daniel J. 1 INFINITE LOOP CUPERTINO, CA 95014 | | | Senior Vice President | |

Signatures

/s/ Gene Levoff, Attorney-in-fact for Daniel J. Riccio

10/17/2013

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) Each restricted stock unit represents the right to receive, at settlement, one share of common stock. This transaction represents the settlement of restricted stock units in shares of common stock on their scheduled vesting date.
- (2) Shares withheld by Registrant to satisfy minimum statutory withholding requirements on vesting of restricted stock units. No shares were sold.
- (3) This award was granted on September 26, 2009. 12.5% of the award vested on April 15, 2010 and the remaining restricted stock units vested 12.5% in semi-annual installments over the four-year period ending October 15, 2013.
- (4) This award was granted on October 5, 2010. 12.5% of the award vested on April 15, 2011 and the remaining restricted stock units vest 12.5% in semi-annual installments over the four-year period ending October 15, 2014.
- (5) This award was granted on October 10, 2011. 12.5% of the award vested on April 15, 2012 and the remaining restricted stock units vest 12.5% in semi-annual installments over the four-year period ending October 15, 2015.

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.