Grove Hannah M Form 4 November 19, 2018

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** 

**OMB** 3235-0287 Number:

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Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations

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

may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Grove Hannah M Issuer Symbol STATE STREET CORP [STT] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner X\_ Officer (give title Other (specify STATE STREET 11/15/2018 below) CORPORATION, ONE LINCOLN **Executive Vice President STREET** (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

BOSTON, MA 02111

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 6. Ownership 7. Nature of 1. Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Form: Direct Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially (D) or Beneficial (Month/Day/Year) (Instr. 8) Owned Indirect (I) Ownership (Instr. 4) (Instr. 4) Following Reported (A) Transaction(s) or (Instr. 3 and 4) Price Code V Amount (D) Common F 643 (1) D 11/15/2018 30,178 D 71.86 Stock Common 401 (k) 23 (2) I Stock Plan

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

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Person

### Edgar Filing: Grove Hannah M - Form 4

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

| 1. Title of | f 2.         | 3. Transaction Date | 3A. Deemed         | 4.                | 5.         | 6. Date Exer        | cisable and      | 7. Titl    | le and      | 8. Price of | 9. Nu  |
|-------------|--------------|---------------------|--------------------|-------------------|------------|---------------------|------------------|------------|-------------|-------------|--------|
| Derivative  | e Conversion | (Month/Day/Year)    | Execution Date, if | TransactionNumber |            | Expiration D        | ate              | Amou       | ınt of      | Derivative  | Deriv  |
| Security    | or Exercise  |                     | any                | Code              | of         | (Month/Day/         | /Year)           | Under      | rlying      | Security    | Secui  |
| (Instr. 3)  | Price of     |                     | (Month/Day/Year)   | (Instr. 8)        | Derivativ  | Derivative          |                  | Securities |             | (Instr. 5)  | Bene   |
|             | Derivative   |                     |                    |                   | Securities |                     | (Instr. 3 and 4) |            |             | Owne        |        |
|             | Security     |                     |                    |                   | Acquired   |                     |                  |            |             |             | Follo  |
|             |              |                     |                    |                   | (A) or     |                     |                  |            |             |             | Repo   |
|             |              |                     |                    |                   | Disposed   |                     |                  |            |             |             | Trans  |
|             |              |                     |                    |                   | of (D)     |                     |                  |            |             |             | (Instr |
|             |              |                     |                    |                   | (Instr. 3, |                     |                  |            |             |             |        |
|             |              |                     |                    |                   | 4, and 5)  |                     |                  |            |             |             |        |
|             |              |                     |                    |                   |            |                     |                  |            | A           |             |        |
|             |              |                     |                    |                   |            |                     |                  |            | Amount      |             |        |
|             |              |                     |                    |                   |            | Date<br>Exercisable | Expiration Date  | Title      | or<br>Namel |             |        |
|             |              |                     |                    |                   |            |                     |                  |            | Number      |             |        |
|             |              |                     |                    | C-1- V            | (A) (D)    |                     |                  |            | of          |             |        |
|             |              |                     |                    | Code v            | (A) (D)    |                     |                  |            | Shares      |             |        |

## **Reporting Owners**

Relationships Reporting Owner Name / Address

> Officer Other Director 10% Owner

Grove Hannah M STATE STREET CORPORATION ONE LINCOLN STREET BOSTON, MA 02111

**Executive Vice President** 

# **Signatures**

/s/ Shannon C. Stanley, Attorney-in-fact

11/19/2018

\*\*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) These shares were withheld to satisfy tax withholding obligations in connection with the vesting of previously awarded deferred stock.
  - The reporting person indirectly beneficially owns the indicated shares of State Street common stock under State Street's 401(k) plan,
- (2) based on a plan statement dated as of October 31, 2018. The plan accounts for interest in units consisting of shares of State Street common stock and a small amount of cash. As a result, the number of underlying shares may fluctuate from time to time.

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.

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