

PRICE T ROWE GROUP INC

Form 3

January 04, 2017

**FORM 3****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

**INITIAL STATEMENT OF 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 \*

Â Robert W. Sharps

(Last)

(First)

(Middle)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

01/01/2017

3. Issuer Name **and** Ticker or Trading Symbol  
PRICE T ROWE GROUP INC [TROW]4. Relationship of Reporting  
Person(s) to Issuer5. If Amendment, Date Original  
Filed(Month/Day/Year)

(Check all applicable)

☐ Director      ☐ 10% Owner  
☒ Officer      ☐ Other  
 (give title below)      (specify below)  
 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

100 E. PRATT STREET

(Street)

BALTIMORE,Â MDÂ 21202

(City)

(State)

(Zip)

**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security  
(Instr. 4)2. Amount of Securities  
Beneficially Owned  
(Instr. 4)

3. Ownership  
 Form:  
 Direct (D)  
 or Indirect  
 (I)  
 (Instr. 5)

4. Nature of Indirect Beneficial  
 Ownership  
 (Instr. 5)

Common Stock

304,009.0301

D

Â

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

SEC 1473 (7-02)

**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.**

**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative  
Security  
(Instr. 4)

2. Date Exercisable and  
 Expiration Date  
 (Month/Day/Year)

Date Exercisable

Expiration  
 Date

3. Title and Amount of  
 Securities Underlying  
 Derivative Security  
 (Instr. 4)

Title

Amount or  
 Number of

4. Conversion  
 or Exercise  
 Price of  
 Derivative  
 Security

5. Ownership  
 Form of  
 Derivative  
 Security:  
 Direct (D)  
 or Indirect

6. Nature of Indirect  
 Beneficial  
 Ownership  
 (Instr. 5)

# Edgar Filing: PRICE T ROWE GROUP INC - Form 3

				Shares		(I) (Instr. 5)	
Stock Options (Right to Buy)	09/04/2009 <sup>(1)</sup>	09/04/2018	Common Stock	31,803	\$ 54.8329	D	Â
Stock Options (Right to Buy)	11/01/2010 <sup>(2)</sup>	09/10/2019	Common Stock	25,000	\$ 43.3725	D	Â
Stock Options (Right to Buy)	11/01/2011 <sup>(3)</sup>	02/18/2020	Common Stock	39,539	\$ 47.6474	D	Â
Stock Options (Right to Buy)	11/01/2011 <sup>(4)</sup>	09/08/2020	Common Stock	41,639	\$ 45.7933	D	Â
Stock Options (Right to Buy)	11/01/2012 <sup>(5)</sup>	02/17/2021	Common Stock	41,638	\$ 67.5613	D	Â
Stock Options (Right to Buy)	11/01/2012 <sup>(6)</sup>	09/08/2021	Common Stock	41,639	\$ 48.56	D	Â
Stock Options (Right to Buy)	12/10/2013 <sup>(7)</sup>	02/23/2022	Common Stock	20,818	\$ 59.0693	D	Â
Stock Options (Right to Buy)	12/10/2013 <sup>(8)</sup>	09/06/2022	Common Stock	20,819	\$ 60.7984	D	Â
Stock Options (Right to Buy)	12/10/2014 <sup>(9)</sup>	02/21/2023	Common Stock	20,498	\$ 69.6708	D	Â
Stock Options (Right to Buy)	12/10/2014 <sup>(10)</sup>	09/10/2023	Common Stock	20,499	\$ 70.2854	D	Â
Stock Options (Right to Buy)	12/10/2015 <sup>(11)</sup>	02/19/2024	Common Stock	20,499	\$ 77.9443	D	Â
Stock Options (Right to Buy)	12/10/2015 <sup>(12)</sup>	09/09/2024	Common Stock	20,499	\$ 78.4418	D	Â
Stock Options (Right to Buy)	12/09/2016 <sup>(13)</sup>	02/19/2025	Common Stock	30,748	\$ 80.9492	D	Â
Stock Options (Right to Buy)	12/09/2016 <sup>(14)</sup>	09/10/2025	Common Stock	30,000	\$ 70.92	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Robert W. Sharps 100 E. PRATT STREET BALTIMORE, MD 21202	Â	Â	Â Vice President	Â

## Signatures

/s/ Robert W. Sharps  
01/04/2017

\*\*Signature of  
Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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) 09/04/2008 Grant - The option vests 20% annually over a 5 year period beginning on 09/04/2009.
  - (2) 09/10/2009 Grant - The option vests 20% annually over a 5 year period beginning on 11/01/2010.
  - (3) 02/18/2010 Grant - The option vests 20% annually over a 5 year period beginning on 11/01/2011.
  - (4) 09/08/2010 Grant - The option vests 20% annually over a 5 year period beginning on 11/01/2011.
  - (5) 02/17/2011 Grant - The option vests 20% annually over a 5 year period beginning on 11/01/2012.
  - (6) 09/08/2011 Grant - The option vests 20% annually over a 5 year period beginning on 11/01/2012.
  - (7) 02/23/2012 Grant - The option vests 20% annually over a 5 year period beginning on 12/10/2013.
  - (8) 09/06/2012 Grant - The option vests 20% annually over a 5 year period beginning on 12/10/2013.
  - (9) 02/21/2013 Grant - The option vests 20% annually over a 5 year period beginning on 12/10/2014.
  - (10) 09/10/2013 Grant - The option vests 20% annually over a 5 year period beginning on 12/10/2014.
  - (11) 02/19/2014 Grant - The option vests 20% annually over a 5 year period beginning on 12/10/2015.
  - (12) 09/09/2014 Grant - The option vests 20% annually over a 5 year period beginning on 12/10/2015.
  - (13) 02/19/2015 Grant - The option vests 20% annually over a 5 year period beginning on 12/09/2016.
  - (14) 09/10/2015 Grant - The option vests 20% annually over a 5 year period beginning on 12/09/2016.

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.