### Edgar Filing: INVESTMENT TECHNOLOGY GROUP, INC. - Form 4

INVESTMENT TECHNOLOGY GROUP, INC.

Form 4 April 05, 2016

# FORM 4

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB

3235-0287 Number:

**OMB APPROVAL** 

Check this box if no longer subject to Section 16.

Washington, D.C. 20549

January 31, Expires: 2005

**SECURITIES** Form 4 or

Estimated average burden hours per

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

response... 0.5

See Instruction

30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Lynch Kevin J

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

INVESTMENT TECHNOLOGY

GROUP, INC. [ITG]

(Check all applicable)

(First)

(Street)

04/03/2016

(Middle)

3. Date of Earliest Transaction

X\_ Director Officer (give title

10% Owner Other (specify

ONE LIBERTY PLAZA, 165

**BROADWAY** 

(Last)

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year)

(Month/Day/Year)

04/03/2016

Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

below)

NEW YORK, NY 10006

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 5. Amount of 7. Nature of 1. Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 6.

Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) (Instr. 3) Code (Month/Day/Year) (Instr. 8)

Securities Ownership Indirect Beneficially Form: Beneficial Direct (D) Ownership Owned or Indirect (Instr. 4) Following Reported (I)

D

I

Transaction(s) (Instr. 3 and 4) Price

36,500

(Instr. 4)

Code V Amount (D) \$

(Instr. 3, 4 and 5)

(A)

A 4,408 A 22.69 4,408

(1)

Stock

Lynch 2012 Irrevocable Children's

By The

Common Stock

Common

Trust

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

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SEC 1474 (9-02)

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Title	and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionNumber		Expiration Da	ate	Amoun	it of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Underly	ying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8) Derivative		e		Securit	ies	(Instr. 5)	Bene
	Derivative				Securities			(Instr. 3	3 and 4)		Owne
	Security				Acquired						Follo
	-				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									A manust		
									Amount		
						Date Expiration Exercisable Date	Expiration		or N		
							Date		Number		
				C 1 W	(A) (D)				of		
				Code V	(A) (D)				Shares		

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Lynch Kevin J ONE LIBERTY PLAZA 165 BROADWAY NEW YORK, NY 10006

X

# **Signatures**

Angelique DeSanto, by power of attorney filed with Form 3 dated March 10, 2016

04/05/2016

\*\*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) Represents initial restricted stock unit award granted to the reporting person upon joining the Board. The award will vest in approximately equal annual installments on each of the first, second and third anniversaries of the grant date.

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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