

DUN &amp; BRADSTREET CORP/NW

Form 4

March 03, 2017

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

Check this box  
if no longer  
subject to  
Section 16.  
Form 4 or  
Form 5  
obligations  
may continue.  
See Instruction  
1(b).

**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

## OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
CARRIGAN ROBERT P

2. Issuer Name and Ticker or Trading  
Symbol  
DUN & BRADSTREET CORP/NW  
[DNB]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)  
103 JFK PARKWAY  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
03/01/2017

☐ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify below)  
Chairman of the Board & CEO

SHORT HILLS, NJ 07078

4. If Amendment, Date Original  
Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting  
Person

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|---|---|--------------------------------------|---|--|---|---|
| Common<br>Stock                       | 03/01/2017                              |   | M                                    | (A)<br>or<br>(D)<br>11,019<br>(1)                                       | \$ 0   | 25,007  | D   |
| Common<br>Stock                       | 03/01/2017                              |   | F                                    | 4,244<br>(2)  | \$<br>107.175  | 20,763  | D   |
| Common<br>Stock                       |   |   |                                      |   | 645.0086 (3)   | I   | HELD IN<br>ESPP   |

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  
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SEC 1474  
(9-02)

number.

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |              | 7. Title and Amount<br>Underlying Security<br>(Instr. 3 and 4) |                    |                 |                                     |
|---|--|---|---|--------------------------------------|--|--|--------------|--|--------------------|-----------------|-------------------------------------|
|   |  |   |   | Code                                 | V  | (A)  | (D)          | Date<br>Exercisable  | Expiration<br>Date | Title           | Amount<br>or<br>Number<br>of Shares |
| Leveraged<br>Restricted<br>Stock<br>Units           | (1)  | 03/01/2017                              |   | M                                    |  |  | 8,739<br>(1) | (1)  | 03/01/2019         | Common<br>Stock | 11,0<br>(1)                         |
| Leveraged<br>Restricted<br>Stock<br>Units           | (4)  | 03/01/2017                              |   | A                                    |  | 22,216<br>(4)  |              | (4)  | 03/01/2020         | Common<br>Stock | 22,2<br>(4)                         |

## Reporting Owners

| Reporting Owner Name / Address                                | Relationships                    |
|---|----------------------------------|
|   | Director 10% Owner Officer Other |
| CARRIGAN ROBERT P<br>103 JFK PARKWAY<br>SHORT HILLS, NJ 07078 | X Chairman of the Board & CEO    |

## Signatures

/s/ Kristin R. Kaldor for Robert P. Carrigan by POA previously  
filed 03/03/2017

\_\_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).

Represents the vesting and payout of the first tranche (1/3) of the leveraged restricted stock units (26,218) granted on March 1, 2016 at

- (1) 126.1% based on the issuer's stock price performance during the performance period from 1/1/2016 -12/31/2016 and includes 2,280 additional shares above the target number of shares originally reported.
- (2) The reporting person made an irrevocable election in November 2016 to satisfy tax withholding obligations relating to the vesting of shares of Common Stock previously awarded through the deduction of shares from the vested amount.
- (3) Held in the issuer's employee stock purchase plan (ESPP) as of 03/03/2017.
- (4) Each performance share represents a contingent right for the reporting person to receive, on each of the first, second and third anniversaries of the date of the grant, a distribution of common stock equal to 0% to 200% of 1/3 of the reported target performance shares based on the issuer's stock price performance during the designated performance periods, as follows: the first distribution is tied to

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the issuer's one-year stock price performance (1/1/2017 - 12/31/2017); the second distribution is tied to the issuer's two-year stock price performance (1/1/2017-12/31/2018); and the third distribution is tied to the issuer's three-year stock price performance (1/1/2017-12/31/2019).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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