Goldfarb Matthew Form 3 May 03, 2019

## FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

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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 \*

A Goldfarb Matthew

(Last)

(First)

04/25/2019

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

DIEBOLD NIXDORF, Inc [DBD]

C/O DIEBOLD NIXDORF. **INCORPORATED, Â 5995** 

**MAYFAIR ROAD** 

(Street)

Statement

(Month/Day/Year)

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

(Check all applicable)

(give title below) (specify below)

\_X\_ Director Officer

10% Owner Other

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

NORTH CANTON, OHÂ 44720

(City)

(Instr. 4)

1. Title of Security

(State)

(Zip)

(Middle)

Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities

Beneficially Owned

(Instr. 4)

3. Ownership Form:

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Direct (D) or Indirect (I) (Instr. 5)

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

SEC 1473 (7-02)

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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)

3. Title and Amount of Securities Underlying **Derivative Security** 

4 Conversion or Exercise Price of

5. Ownership Form of Derivative

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

(Instr. 4)

**Expiration Title** Date Exercisable Date

Amount or Number of Derivative Security: Security Direct (D)

Shares

or Indirect (I) (Instr. 5)

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Goldfarb Matthew

C/O DIEBOLD NIXDORF, INCORPORATED 5995 MAYFAIR ROAD NORTH CANTON, OHÂ 44720

 $\hat{A}$  X  $\hat{A}$   $\hat{A}$   $\hat{A}$ 

**Signatures** 

Jonathan B. Leiken, Attorney-in-fact for Matthew Goldfarb

05/03/2019

\*\*Signature of Reporting Person

Date

## **Explanation of Responses:**

No securities are beneficially owned

- \* 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).

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. -width: 0; border-right-width: 1; border-bottom-width: 1">6. Date Exercisable and Expiration Date (Month/Day/Year)7. Title and Amount of Underlying Securities

(Instr. 3 and 4)8. Price of Derivative Security

(Instr. 5)9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s)

(Instr. 4)10. Ownership Form of Derivative Security: Direct (D) or Indirect (I)

(Instr. 4)11. Nature of Indirect Beneficial Ownership

(Instr. 4)CodeV(A)(D)Date ExercisableExpiration DateTitleAmount or Number of Shares Non-Qualified Stock Option (right to buy) \$ 5.1606/16/2011 A 4,500 06/16/201106/16/2021 Heritage Commerce Corp - Common Stock 4,500 \$ 5.16 4,500 D Non-Qualified Stock Option (right to buy) \$ 3.57 07/26/2010(1)07/26/2020 Heritage Commerce Corp -Common Stock 3,500 3,500 D Non-Qualified Stock Option (right to buy) \$ 7.43 05/04/200905/04/2019 Heritage Commerce Corp - Common Stock 3,500 D Non-Qualified Stock Option (right to buy) \$ 8.5 10/24/200210/24/2012 Heritage Commerce Corp - Common Stock 7,500 7,500 D Non-Qualified Stock Option (right to buy) \$ 8.96 07/25/200207/25/2012 Heritage Commerce Corp - Common Stock 7,500 7,500 D Non-Qualified Stock Option (right to buy) \$ 18.01 05/26/200505/26/2015 Heritage Commerce Corp - Common Stock 2,500 2,500 D Non-Qualified Stock Option (right to buy) \$ 23.85 08/03/200608/03/2016 Heritage Commerce Corp - Common Stock 3,300 D Non-Qualified Stock Option (right to buy) \$ 23.89 05/04/200705/04/2017 Heritage Commerce Corp - Common Stock 4,500 4,500 D

#### **Reporting Owners**

150 ALMADEN BOULEVARD

Reporting Owner Name / Address

Director 10% Owner Officer Other

TOENISKOETTER CHARLES J X

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Date

SAN JOSE, CA 95113

## **Signatures**

By: Debbie Reuter as Attoney in Fact For: Toeniskoetter, Charles 06/17/2011

\*\*Signature of Reporting Person

# **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) Stock option vests daily in four years.

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