

AES CORP

Form 3

January 09, 2015

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

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated 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 Mendoza Tish

(Last)

(First)

(Middle)

4300 WILSON BOULEVARD

(Street)

ARLINGTON,Â VAÂ 22203

(City)

(State)

(Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

01/01/2015

3. Issuer Name **and** Ticker or Trading Symbol
AES CORP [AES]4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
Sr. VP & Chief HR Officer5. 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**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

23,504 ⁽¹⁾

D

Â

Common Stock

17,102

I

by 401(k)

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

SEC 1473 (7-02)

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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)3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)4. Conversion
or Exercise
Price of
Derivative5. Ownership
Form of
Derivative
Security:6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	Â <u>(2)</u>	02/23/2017	Common Stock	1,229	\$ 22.28	D	Â
Stock Option (Right to Buy)	Â <u>(3)</u>	02/22/2018	Common Stock	2,369	\$ 18.87	D	Â
Stock Option (Right to Buy)	Â <u>(4)</u>	02/15/2023	Common Stock	32,028	\$ 11.17	D	Â
Stock Option (Right to Buy)	Â <u>(5)</u>	02/21/2024	Common Stock	24,643	\$ 14.63	D	Â
Units	Â <u>(6)</u>	Â <u>(6)</u>	Common Stock	2,358	\$ <u>(6)</u>	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Mendoza Tish 4300 WILSON BOULEVARD ARLINGTON, VA 22203	Â	Â	Â Sr. VP & Chief HR Officer	Â

Signatures

Letitia (Tish) D. Mendoza 01/09/2015

 **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) Includes 10,120 Restricted Stock Units ("RSUs") granted under The AES Corporation 2003 Long Term Compensation Plan which will vest in three equal annual installments from the date of grant if certain continuing employment conditions are satisfied. If such conditions are satisfied, each RSU entitles the holder to one share of AES Common Stock for each RSU granted.

(2) This stock option award was granted pursuant to The AES Corporation 2003 Long Term Compensation Plan and vested in three equal annual installments. The first installment vested on 2/23/2008, the second installment vested on 2/23/2009 and the final installment vested on 2/23/2010.

(3) This stock option award was granted pursuant to The AES Corporation 2003 Long Term Compensation Plan and vested in three equal annual installments. The first installment vested on 2/22/2009, the second installment vested on 2/22/2010 and the final installment vested on 2/22/2011.

(4) This stock option award was granted pursuant to The AES Corporation 2003 Long Term Compensation Plan and will vest in three equal annual installments if certain continuing employment conditions are satisfied. If such continuing employment conditions are satisfied, the first installment vests on 2/15/2014, the second installment will vest on 2/15/2015 and the final installment will vest on 2/15/2016.

(5) This stock option award was granted pursuant to The AES Corporation 2003 Long Term Compensation Plan and will vest in three equal annual installments if certain continuing employment conditions are satisfied. If such conditions are satisfied, the first installment will vest on 2/21/2015, the second installment will vest on 2/21/2016 and the final installment will vest on 2/21/2017.

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- (6) These units were awarded pursuant to the Restoration Supplemental Retirement Plan ("Restoration Plan"). Generally, units under this plan are paid out in cash following termination of employment or later as per the terms of the Restoration Plan document. Each unit represents a hypothetical AES investment equal to one share of AES Common stock and units under the Restoration Plan are 100% vested upon award.

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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