

FIRST CITIZENS BANCSHARES INC /DE/

Form 4

August 08, 2016

**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

OMB  
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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**BRYANT HOPE HOLDING**

2. Issuer Name **and** Ticker or Trading  
Symbol

**FIRST CITIZENS BANCSHARES  
INC /DE/ [FCNCA]**

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)

**4300 SIX FORKS ROAD**

(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
**08/04/2016**

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

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

**RALEIGH, NC 27609**

(City) (State) (Zip)

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

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) |        | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |  |
|---------------------------------|--------------------------------------|--|--------------------------------|---|--------|---|--|---|--|
|                                 |                                      |  | Code                           | V   | Amount | (A) or (D) Price  |  |   |  |
| Class A Common Stock            | 08/04/2016                           |  | S                              |   | 500    | D \$ 259  | 229,063  | I <sup>(1)</sup>                                      | By Southern BancShares (N.C.), Inc. and subsidiary |
| Class A Common Stock            | 08/04/2016                           |  | S                              |   | 2,000  | D \$ 258.03 <sup>(2)</sup>  | 227,063  | I <sup>(1)</sup>                                      | By Southern BancShares (N.C.), Inc. and subsidiary |
| Class A Common                  | 08/05/2016                           |  | S                              |   | 500    | D \$ 259  | 226,563  | I <sup>(1)</sup>                                      | By Southern BancShares                             |

|                            |            |   |       |   |                     |         |       |  |  |
|----------------------------|------------|---|-------|---|---------------------|---------|-------|--|--|
| Stock                      |            |   |       |   |                     |         |       |  | (N.C.), Inc.<br>and<br>subsidiary                              |
| Class A<br>Common<br>Stock | 08/05/2016 | S | 6,910 | D | \$<br>260.13<br>(3) | 219,653 | I (1) |  | By Southern<br>BancShares<br>(N.C.), Inc.<br>and<br>subsidiary |
| Class A<br>Common<br>Stock | 08/05/2016 | S | 1,975 | D | \$<br>261.33<br>(4) | 217,678 | I (1) |  | By Southern<br>BancShares<br>(N.C.), Inc.<br>and<br>subsidiary |
| Class A<br>Common<br>Stock | 08/05/2016 | S | 615   | D | \$<br>262.26<br>(5) | 217,063 | I (1) |  | By Southern<br>BancShares<br>(N.C.), Inc.<br>and<br>subsidiary |

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 required to respond unless the form displays a currently valid OMB control number.**

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<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<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and<br>Amount of<br>Underlying<br>Securities<br>(Instr. 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secur<br>Bene<br>Own<br>Follo<br>Repo<br>Trans<br>(Instr |
|---|--|---|---|--------------------------------------|--|--|---|---|--|
|   |  |   |   | Code                                 | V (A) (D)  | Date<br>Exercisable  | Expiration<br>Date  | Title   | Amount<br>or<br>Number<br>of<br>Shares                                     |

## Reporting Owners

| Reporting Owner Name / Address | Relationships |           |         |       |
|--------------------------------|---------------|-----------|---------|-------|
|                                | Director      | 10% Owner | Officer | Other |

BRYANT HOPE HOLDING

4300 SIX FORKS ROAD

X

X

Vice Chairman

RALEIGH, NC 27609

## Signatures

Hope H. Bryant, By: William R. Lathan, Jr.,  
Attorney-in-fact

08/08/2016

\_\_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) The reporting person is a director, officer, manager and/or shareholder of the companies that own these shares, but she disclaims beneficial ownership of the listed shares except to the extent of her pecuniary interest therein, if any, and this report shall not be deemed an admission that the reporting person is the beneficial owner of such securities for purposes of Section 16 of the Securities Exchange Act of 1934 or for any other purpose.

(2) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$258.00 to \$258.07 inclusive. The reporting person undertakes to provide First Citizens BancShares, Inc., and security holders of First Citizens BancShares, Inc., or the staff of the Securities and Exchange Commission, upon request full information regarding the number of shares sold at each separate price within the ranges set forth in footnotes (2) through (5).

(3) The price reported on Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$260.00 to \$260.87, inclusive.

(4) The price reported on Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$261.00 to \$261.94, inclusive.

(5) The price reported on Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$262.01 to \$262.65, inclusive.

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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