Edgar Filing: POLLITT BYRON H JR - Form 4

| POLLITT BY | YRON H JR | | | | | | | | | |
|-------------------------|--|---------------------------------|--------------------------------|-------------|--|--|----------------------------|-------------------------|--|--|
| Form 4 | | | | | | | | | | |
| May 31, 2018 | | | | | | | | | | |
| FORM | $ 4 _{\text{UNITED}}$ | STATES SECUR | TTIES AN | | UANCE | COMMISSION | т | PPROVAL | | |
| - | UNITED | | shington, l | | | | OMB Number: | 3235-0287 | | |
| Check this | s box | vv as | inington, i | D.C. 203 | | | | January 31, | | |
| - | if no longer subject to STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF | | | | | Expires: | 2005 | | | |
| | Section 16. SECURITIES | | | | | Estimated a burden hou | | | | |
| Form 4 or | | | | | | | response | • | | |
| Form 5 | They pursually to Section 10(a) of the Securities Exchange Act of 1734, | | | | | | | | | |
| obligation may conti | | a) of the Public Ut | • | U | . . | | n | | | |
| See Instru | | 30(h) of the In | vestment (| Company | Act of 19 | 40 | | | | |
| 1(b). | | | | | | | | | | |
| (Print or Type R | esponses) | | | | | | | | | |
| (Thin of Type I | (coponses) | | | | | | | | | |
| 1. Name and A | ddress of Reporting I | Person <u>*</u> 2. Issuer | Name and T | Ficker or T | Frading | 5. Relationship of | f Reporting Per | Reporting Person(s) to | | |
| POLLITT B | Symbol | | | | | Issuer | | | | |
| | Voya Fi | nancial, In | nc. [VOY | YA] | (Check all applicable) | | | | | |
| (Last) | Aiddle) 3. Date of | 3. Date of Earliest Transaction | | | (Check all applicable) | | | | | |
| | (Month/D | (Month/Day/Year) | | | _X_ Director | 109 | % Owner | | | |
| 230 PARK A | 05/30/20 | 05/30/2018 | | | | Officer (give titleOther (specify below) | | | | |
| (Street) | | 4 TE A | 4. If Amendment, Date Original | | | | | | | |
| | | ndment, Date (th/Day/Year) | eOriginal | | 6. Individual or Joint/Group Filing(Check | | | | | |
| | T fied(woh | (ul/Day/1Cal) | | | Applicable Line) _X_ Form filed by One Reporting Person | | | | | |
| NEW YORK | K, NY 10169 | | | | | Form filed by M Person | More than One R | eporting | | |
| (City) | (State) | (Zip) Table | e I - Non-De | erivative S | ecurities Ac | quired, Disposed o | f, or Beneficia | lly Owned | | |
| 1.Title of | 2. Transaction Date | e 2A. Deemed | 3. | 4. Securit | ties | 5. Amount of | 6. Ownership | 7. Nature of | | |
| Security | (Month/Day/Year) | Execution Date, if | Transactio | | | Securities | Form: Direct | Indirect | | |
| (Instr. 3) | | any | Code | Disposed | | Beneficially | (D) or | Beneficial | | |
| | | (Month/Day/Year) | (Instr. 8) | (Instr. 3, | 4 and 5) | Owned Following | Indirect (I) (Instr. 4) | Ownership (Instr. 4) | | |
| | | | | | (A) | Reported | (| (| | |
| | | | | | (A) or | Transaction(s) | | | | |
| | | | Code V | Amount | | (Instr. 3 and 4) | | | | |
| Common | | | | | | 2,000 | D | | | |
| Stock | | | | | | , | | | | |
| | | | | | | | | | | |

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.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

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| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transactic Code (Instr. 8) | 5. Number on f Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | Underlying Securities (Instr. 3 and 4) | | 8. Pr Deriv Secu (Inst |
|---|---|---|---|--|---|--|--------------------|--|--|---------------------------------|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |
| Restricted Stock Units | (1) | 05/30/2018 | | А | 2,686 | (2) | (2) | Common Stock | 2,686 | \$ |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | |
|---|---------------|-----------|---------|-------|--|--|
| | Director | 10% Owner | Officer | Other | | |
| POLLITT BYRON H JR 230 PARK AVENUE NEW YORK, NY 10169 | Х | | | | | |
| Signatures | | | | | | |
| /s/ Jean Weng, Attorney in Fact | 05/3 | 51/2018 | | | | |
| **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) Each stock unit represents a conditional right to receive one share of the company's common stock.
- (2) 100% of the restricted stock units will vest on May 30, 2018.

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.