Edgar Filing: Nelson Charles P - Form 4

| Form 4 | P | | | | | | | | | | |
|---|----------------------------------|----------------------------------|--|--|--|--|--|---|--|--------------|--|
| Form 4 June 01, 2018 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). | | | | | | OMB APPROVAL OMB 3235-0287 Number: January 31, Expires: 2005 Estimated average burden hours per response 0.5 | | | | | |
| (Print or Type Resp | onses) | | | | | | | | | | |
| 1. Name and Address of Reporting Person <u>*</u> Nelson Charles P | | | 2. Issuer Name and Ticker or Trading Symbol Voya Financial, Inc. [VOYA] | | | | | 5. Relationship of Reporting Person(s) to Issuer | | | |
| (Last) (First) (Middle) 230 PARK AVE | | | 3. Date of Earliest Transaction (Month/Day/Year) 05/31/2018 | | | | | (Check all applicable) <u></u> Director <u>X</u> Officer (give title 10% Owner below) See Remarks | | | |
| | | | | f Amendment, Date Original ed(Month/Day/Year) | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting | | | |
| NEW YORK, N | NY 10169 (State) | (Zip) | T - 1 1 | L N. D | | • | | Person | | | |
| 1.Title of 2. Security (N (Instr. 3) | Transaction Da Aonth/Day/Year | te 2A. Dee) Execution any | | 3. Transactic Code (Instr. 8) Code V | 4. Securit onAcquired Disposed (Instr. 3, - | ies (A) or of (D) 4 and 5 (A) or | | puired, Disposed o 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 | |
| Common Stock | | | | | | | | 47,815 | D | | |

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)

Edgar Filing: Nelson Charles P - Form 4

| 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 or f Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | |
|---|---|---|---|--|---|--|--------------------|---|-------------------------------------|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Deferred Savings Plan Issuer Stock Units | <u>(1)</u> | 05/31/2018 | | A | 6.739 | <u>(1)</u> | <u>(1)</u> | Common Stock | 6.739 |
| Performance Stock Unit | <u>(2)</u> | | | | | (2) | (2) | Common Stock | 74,865 (3) |
| Restricted Stock Units | <u>(2)</u> | | | | | (2) | (2) | Common Stock | 64,800 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | |
|--|---------------|-----------|-------------|-------|--|--|--|
| I O | Director | 10% Owner | Officer | Other | | | |
| Nelson Charles P 230 PARK AVE NEW YORK, NY 10169 | | | See Remarks | | | | |
| Signatures | | | | | | | |
| /s/ Jean Weng, Attorney in Fact | 06/0 |)1/2018 | | | | | |

Date

**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) Each of these units represents a right to receive the cash value of one share of the company's common stock upon the reporting person's separation from the company. The reporting person may reallocate investments in these units to alternative investments in the future.
- (2) The stock units will vest based on their respective award agreements.

The number of shares of common stock that will be delivered for each performance stock unit depends on the achievement of certain(3) performance factors. Depending on actual performance, the number of shares of common stock delivered upon the vesting date can range from 0% to 150% of the number presented above.

Remarks:

CEO, Retirement and Employee Benefits

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

Reporting Owners

E S

Edgar Filing: Nelson Charles P - Form 4

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.