su Jingshyh S Form 3 February 01, 2005

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

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 \*

su Jingshyh S

(Last) (First)

(Middle)

Statement

(Month/Day/Year)

02/01/2005

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

YUM BRANDS INC [YUM]

(Check all applicable)

President - Greater China

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

ONE INTERNATIONAL FINANCE CENTER CENTRAL

(Street)

Director \_X\_\_ Officer

10% Owner Other (give title below) (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

### CENTRAL HONG KONGÂ

(City) (State)

1. Title of Security (Instr. 4)

(Zip)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

Table I - Non-Derivative Securities Beneficially Owned

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)

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 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)

Conversion or Exercise Price of

4.

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

Date Exercisable Expiration

Date

Title

Amount or Number of Shares

Security: Derivative Security Direct (D) or Indirect

(I)

5.

# Edgar Filing: su Jingshyh S - Form 3

					(Ins	str. 5)	
Employee Stock Option (right to buy)	01/25/2000	01/25/2006	Common Stock	96,420	\$ 11.4085	D	Â
Employee Stock Option (right to buy)	04/01/2000	01/25/2006	Common Stock	30,584	\$ 12.27	D	Â
Employee Stock Option (right to buy)	06/30/1999	06/30/2005	Common Stock	1,540	\$ 8.9	D	Â
Employee Stock Option (right to buy)	07/01/2000	06/30/2006	Common Stock	1,576	\$ 13.74	D	Â
Employee Stock Option (right to buy)	01/20/2002	01/20/2008	Common Stock	110,092	\$ 13.625	D	Â
Employee Stock Option (right to buy)	01/21/2003	01/21/2009	Common Stock	72,390	\$ 23.4844	D	Â
Employee Stock Option (right to buy)	01/27/2004	01/27/2010	Common Stock	112,282	\$ 15.14	D	Â
Employee Stock Option (right to buy)	01/25/2002(1)	01/25/2011	Common Stock	71,504	\$ 16.7825	D	Â
Employee Stock Option	12/31/2002(2)	12/31/2011	Common Stock	48,162	\$ 24.4075	D	Â
Phantom Stock	(3)	(4)	Common Stock	28,119	\$ <u>(5)</u>	D	Â
Employee Stock Option (right to buy)	01/23/2004(6)	01/23/2013	Common Stock	49,475	\$ 24.325	D	Â
Employee Stock Option (right-to-buy)	01/27/2005(7)	01/27/2014	Common Stock	58,594	\$ 34.46	D	Â
Stock Option Right to Buy	01/24/2006	01/24/2012	Common Stock	37,658	\$ 26.555	D	Â
Stock Option Right to Buy	01/27/2008	01/27/2014	Common Stock	29,020	\$ 34.46	D	Â
Phantom Stock	(8)	(4)	Common Stock	26,090.37	\$ (5)	D	Â
Employee Stock Option (right to buy)	01/01/2001	01/25/2006	Common Stock	58,616	\$ 11.5174	D	Â
Employee Stock Option (right to buy)	09/30/2006	09/30/2002	Common Stock	36,089	\$ 27.71	D	Â
Stock Option (Right to Buy)	01/28/2006(9)	01/28/2015	Common Stock	65,039	\$ 45.06	D	Â
Phantom Stock	(10)	(4)	Common Stock	25,466.05	\$ <u>(5)</u>	D	Â

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer

Other

su Jingshyh S

ONE INTERNATIONAL FINANCE CENTER CENTRAL President - Greater China CENTRAL HONG KONGÂ

# **Signatures**

Jingshyh S. Su 02/01/2005

\*\*Signature of Date

Reporting Person

# **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) Vesting occurs 25% per year beginning 1/25/2002.
- (2) Vesting occurs 25% per year beginning 12/31/2002.
- (3) Payable April 1, 2005 or upon Retirement and pursuant to the terms of the YUM! Brands deferred compensation plan.
- (4) The YUM! Brands, Inc. Executive Income Deferral Plan does not have specified expiration dates.
- (5) Conversion occurs on a one-for-one basis.
- (6) Vesting will occur 25% per year beginning 1/23/2004.
- (7) Vesting will occur 25% per year beginning 1/27/2005.
- (8) Payable April 1, 2006 or upon Retirement and pursuant to the terms of the YUM! Brands, Inc. deferred compensation plan.
- (9) Vesting will occur 25% per year beginning 01/28/2006
- (10) Shares of phantom stock are payable 04/01/07 or upon Separation and are subject to earlier withdrawal in accordance with the ter ms of Yum's deferred compensation plan.

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.

Reporting Owners 3