

SUNTRUST BANKS INC

Form 3

April 04, 2017

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

OMB APPROVAL

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**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 \*

ARRIETA JORGE

(Last) (First) (Middle)

303 PEACHTREE STREET, NE

(Street)

ATLANTA, GA 30308

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

04/03/2017

3. Issuer Name and Ticker or Trading Symbol

SUNTRUST BANKS INC [STI]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ Officer ☐ Other  
(give title below) (specify below)  
CEVP & General Auditor

5. 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)

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)

Date Exercisable Date Expiration

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

Title Amount or Number of Shares

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:  
Direct (D)  
or Indirect (I)  
(Instr. 5)

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

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Phantom Stock <sup>(1)</sup>	Â <sup>(1)</sup>	Â <sup>(1)</sup>	Common Stock	882.2709	\$ <sup>(1)</sup>	D	Â
Phantom Stock <sup>(2)</sup>	02/14/2020	09/21/2020	Common Stock	431.93	\$ <sup>(2)</sup>	D	Â
Phantom Stock <sup>(2)</sup>	02/14/2019	02/14/2019	Common Stock	431.931	\$ <sup>(2)</sup>	D	Â
Phantom Stock <sup>(2)</sup>	02/14/2018	02/14/2018	Common Stock	432.935	\$ <sup>(2)</sup>	D	Â
Phantom Stock <sup>(2)</sup>	12/31/2019	12/31/2019	Common Stock	5,532.27	\$ <sup>(2)</sup>	D	Â
Phantom Stock <sup>(2)</sup>	02/09/2019	02/09/2019	Common Stock	794.422	\$ <sup>(2)</sup>	D	Â
Phantom Stock <sup>(2)</sup>	02/09/2018	02/09/2018	Common Stock	795.448	\$ <sup>(2)</sup>	D	Â
Phantom Stock <sup>(2)</sup>	02/10/2018	02/21/2018	Common Stock	729.859	\$ <sup>(2)</sup>	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ARRIETA JORGE 303 PEACHTREE STREET, NE ATLANTA, GA 30308	Â	Â	Â CEVP & General Auditor	Â

## Signatures

David Wisniewski, Attorney-in-Face for Jorge Arrieta

04/04/2017

                    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) The phantom stock units were acquired under SunTrust Banks, Inc.'s Deferred Compensation Plan. These securities convert to common stock on a one-for-one basis.  
  
Represents time-vested restricted stock units under the 2009 Stock Plan. The Plan is exempt under Rule 16b-3. The restricted stock unit
- (2) award agreements contain tax withholding features which allow us to withhold units to satisfy withholding obligations. Units will be settled in shares.

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.