SEC Form 4

FORM 4

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

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| | | | | () | | . , | | | | | | |
|--|----------------------|---------------|----------------|--------------------------------|------------------|---------------------------|---|----------------------------|-----------------|---------------|--|--|
| 1. Name and Address of Reporting Person | | | | uer Name and Tick | 0 | Symbol | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | | |
| <u>Kiser Georgette D.</u> | | | | L | | | X | Director | 10% 0 | Owner | | |
| (Last) 864 SPRING | (First) STREET NW | (Middle) | | te of Earliest Trans 0/2021 | action (Month/ | Day/Year) | | Officer (give title below) | Other below | (specify) | | |
| | | | 4. If A | mendment, Date o | f Original Filed | l (Month/Day/Year) | 6. Individual or Joint/Group Filing (Check Applicable | | | | | |
| (Street) | | | | | | | Line) | | | | | |
| ATLANTA | GA | 30308 | | | | | X | Form filed by On | e Reporting Per | rson | | |
| | UII | 50500 | | | | | | Form filed by Mo Person | ore than One Re | porting | | |
| (City) | (State) | (Zip) | | | | | | | | | | |
| | | Table I - Nor | n-Derivative S | Securities Acq | uired, Dis | oosed of, or Benet | icially | Owned | | | | |
| 1. Title of Security (Instr. 3) 2. Trans | | | 2. Transaction | 2A. Deemed | 3. | 4. Securities Acquired (A |) or | 5. Amount of | 6. Ownership | 7. Nature | | |

| | Date (Month/Day/Year) | Execution Date, if any (Month/Day/Year) | Transaction Code (Instr. 8) | | | (D) (Insti | r. 3, 4 and | | (D) or Indirect (I) (Instr. 4) | of Indirect Beneficial Ownership (Instr. 4) |
|-----------------------------|--------------------------|---|-----------------------------------|---|----------------------------|------------|------------------------------------|--------|-----------------------------------|--|
| | | | Code | v | Amount (A) or (D) Price | | Transaction(s) (Instr. 3 and 4) | | (1150.4) | |
| Common Stock ⁽¹⁾ | 04/20/2021 | | A | | 5,599 | Α | \$40.19 | 20,243 | D | |

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| | | | (0/1 | , | | | | • | | | | , | | | |
|---|---|--|---|------------------------------|---|---|-----|---------------------|-------------------------|-------|---|--|--|--|--|
| 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. Transa Code (8) | | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | ate | Amount of Securities | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |

Explanation of Responses:

1. These restricted stock units represent the annual equity grant awarded to directors under the NCR Director Compensation Program (the "Compensation Program"). The restricted stock units vest in four equal quarterly installments beginning three months after the grant date, subject to the reporting person's continued service as a director on each vesting date. The reporting person elected to defer receipt of NCR common stock underlying the restricted stock units in accordance with the terms of the Compensation Program. The reporting person will receive NCR common stock following the termination of the reporting person's service as a director.

Remarks:

Laura J. Foltz, Attorney-in-Fact for Georgette D. Kiser 04/22/2021

** Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

* 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).

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

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 Number.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).