

HOLDING FRANK B JR
Form 4
June 27, 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).

**STATEMENT OF CHANGES IN 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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
HOLDING FRANK B JR

2. Issuer Name **and** Ticker or Trading
Symbol
FIRST CITIZENS BANCSHARES
INC /DE/ [FCNCA]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
4300 SIX FORKS ROAD
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
06/07/2018

☒ Director ☒ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
Chairman and CEO

RALEIGH, NC 27609

4. 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

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired or Disposed of (D) (Instr. 3, 4 and 5)	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 Indirect Beneficial Ownership (Instr. 4)
Class A Common Stock				(A) or (D)	Price		
			Code	V	Amount		
						311,051	D
Class A Common Stock	06/07/2018		G	V	1,200	D	\$ 0 655,338
						I	As Co-Trustee for Frank B. Holding Revocable Trust
Class A Common Stock	06/08/2018		G	V	564	D	\$ 0 654,774
						I	As Co-Trustee for Frank B.

									Holding Revocable Trust
									As
Class A Common Stock	06/11/2018	G	V	114,774	D	\$ 0	540,000	I	Co-Trustee for Frank B. Holding Revocable Trust
									As
Class A Common Stock	06/29/2018	G	V	540,000	D	\$ 0	0	I	Co-Trustee for Frank B. Holding Revocable Trust
									As
Class A Common Stock	06/25/2018	<u>J</u> ⁽¹⁾		34,265	A	\$ 0	34,265	I	Co-Trustee for Frank B. Holding Revocable Trust
Class A Common Stock							11,140	I	As beneficiary of Trust
Class A Common Stock							8,525 ⁽²⁾	I	By Spouse
Class A Common Stock							19,400 ⁽²⁾	I	As custodian for B.P. Holding
Class A Common Stock							17,350 ⁽²⁾	I	As custodian for L.R. Holding II
Class A Common Stock							11,228	I	By son, Lewis R. Holding II
Class B Common Stock							99,631	D	
Class B Common Stock	06/07/2018	G	V	395	D	\$ 0	0	I	As
									Co-Trustee for Frank B. Holding Revocable

Class B Common Stock	2,122	I	Trust As beneficiary of Trust
Class B Common Stock	1,399 ⁽²⁾	I	By spouse
Class B Common Stock	178 ⁽²⁾	I	As custodian for F. B. Holding III
Class B Common Stock	13,524	I	As custodian for B. P. Holding
Class B Common Stock	10,707	I	As custodian for L.R. Holding II
Class B Common Stock	19,450 ⁽²⁾	I	By son Lewis R. Holding II

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

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(9-02)

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

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. Transaction Code (Instr. 8)	5. Number of 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)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HOLDING FRANK B JR 4300 SIX FORKS ROAD RALEIGH, NC 27609	X	X	Chairman and CEO	

Signatures

Frank B. Holding, Jr., By: William R. Lathan, Jr.,
Attorney-in-fact

06/27/2018

__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) Liquidating pro-rata distribution of shares held by ECHB, LLC.

The reporting person disclaims beneficial ownership of these securities, and this report shall not be deemed an admission that the

(2) reporting person is the beneficial owner of such securities for purposes of Section 16 of the Securities Exchange Act of 1934 or for any other purpose.

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

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