

MICROSOFT CORP  
Form 3  
November 15, 2013

**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      |         | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol                                |   |
| *<br>^ Shum Heung-Yeung                      |         | (Month/Day/Year)<br>11/13/2013       | MICROSOFT CORP [MSFT]  |   |
| (Last)                                       | (First) | (Middle)                             | 4. Relationship of Reporting Person(s) to Issuer                           | 5. If Amendment, Date Original Filed(Month/Day/Year)  |
| C/O MICROSOFT CORPORATION, ONE MICROSOFT WAY |         |                                      | (Check all applicable)   |   |
| (Street)                                     |         |                                      | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner       | 6. Individual or Joint/Group Filing(Check Applicable Line)<br><input checked="" type="checkbox"/> Form filed by One Reporting Person<br><input type="checkbox"/> Form filed by More than One Reporting Person |
| REDMOND, WA 98052-6399                       |         |                                      | <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other |   |
| (City)                                       | (State) | (Zip)                                | EVP, Technology & Research (specify below)                                 |   |

**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) |
|---------------------------------|---|--|---|
| Common Stock                    | 655,540 <sup>(1)</sup>                                | D  | ^   |
| Common Stock                    | 1,643 <sup>(2)</sup>                                  | I  | By 401(k)   |

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

SEC 1473 (7-02)

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**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 | 4. Conversion or Exercise | 5. Ownership Form of | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|--|---------------------------|----------------------|---|
|--|--|--|---------------------------|----------------------|---|

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| Date Exercisable | Expiration Date | (Instr. 4) | Amount or Number of Shares | Price of Derivative Security | Derivative Security: Direct (D) or Indirect (I) |
|------------------|-----------------|------------|----------------------------|------------------------------|---|
|                  |                 | Title      |                            |                              |   |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                              |       |
|--|---------------|-----------|------------------------------|-------|
|  | Director      | 10% Owner | Officer                      | Other |
| Shum Heung-Yeung<br>C/O MICROSOFT CORPORATION<br>ONE MICROSOFT WAY<br>REDMOND, WA 98052-6399 | Â             | Â         | Â EVP, Technology & Research | Â     |

## Signatures

Keith R. Dolliver, Attorney-in-Fact for Heung-Yeung Shum  
 11/15/2013  
 \_\_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).  
 Includes an aggregate of 542,438 shares represented by stock awards that vest, subject to continued employment, as follows: 8,932 shares vest on 2/10/14; 40,345 shares vest on 2/28/14; 9,846 shares vest on 3/15/14; 37,425 shares vest on 8/28/14; 14,461 shares vest on 8/30/14; 59,461 shares vest on 8/31/14; 12,863 shares vest on 1/15/15; 45,397 shares vest on 2/28/15; 9,847 shares vest on 3/15/15;  
 (1) 37,426 shares vest on 8/28/15; 9,409 shares vest on 8/30/15; 41,598 shares vest on 8/31/15; 14,701 shares vest on 1/15/16; 37,425 shares vest on 2/28/16; 7,972 shares vest on 2/29/16; 37,425 shares vest on 8/28/16; 9,410 shares vest on 8/30/16; 10,932 shares vest on 8/31/16; 42,477 shares vest on 2/28/17; 37,426 shares vest on 8/28/17; 9,409 shares vest on 8/30/17; 3,894 shares vest on 8/31/17; and 4,357 shares vest on 8/30/18.  
 (2) As of October 31, 2013

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.