

Dubuc Manuel Perez
Form 3
September 28, 2018

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 *

Â Dubuc Manuel Perez

(Last) (First) (Middle)

4300 WILSON BLVD.

(Street)

ARLINGTON,Â VAÂ 22203

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

09/18/2018

3. Issuer Name **and** Ticker or Trading Symbol
AES CORP [AES]

4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer ____ Other
(give title below) (specify below)
SVP, New Energy Solutions

5. If Amendment, Date Original
Filed(Month/Day/Year)

6. Individual or Joint/Group
Filing(Check Applicable Line)
__X__ 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)

Common Stock

27,374 ⁽¹⁾

D

Â

Common Stock

5,952 ⁽²⁾

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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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)

4. Conversion
or Exercise
Price of
Derivative

5. Ownership
Form of
Derivative
Security:

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

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	Â (3)	02/15/2023	Common Stock	34,837	\$ 11.17	D	Â
Stock Option (Right to Buy)	Â (4)	02/21/2024	Common Stock	26,805	\$ 14.63	D	Â
Stock Option (Right to Buy)	Â (5)	02/20/2025	Common Stock	46,791	\$ 11.89	D	Â
Units	Â (6)	Â (6)	Common Stock	1,616	\$ (6)	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Dubuc Manuel Perez 4300 WILSON BLVD. ARLINGTON, VA 22203	Â	Â	Â SVP, New Energy Solutions	Â

Signatures

/s/ Manuel Perez
Dubuc

09/28/2018

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 Restricted Stock Unit ("RSU") awards granted pursuant to The AES Corporation 2003 Long Term Compensation Plan, with
- (1) such awards vesting in three equal annual installments from the date of grant if certain continuing employment conditions are satisfied. If such conditions are satisfied, each RSU entitles the holder to one share of AES Common Stock for each RSU granted.
 - (2) Consists of shares of AES Common Stock acquired pursuant to The AES Corporation Retirement Savings Plan. The information in this report is based on a plan statement dated September 25, 2018.
- This stock option was granted pursuant to The AES Corporation 2003 Long Term Compensation Plan and vested in three equal annual
- (3) installments. The first installment vested on 2/15/2014, the second installment vested on 2/15/2015 and the final installment vested on 2/15/2016.
- This stock option was granted pursuant to The AES Corporation 2003 Long Term Compensation Plan and vested in three equal annual
- (4) installments. The first installment vested on 2/21/2015, the second installment vested on 2/21/2016 and the final installment vested on 2/21/2017.
- This stock option was granted pursuant to The AES Corporation 2003 Long Term Compensation Plan and vested in three equal annual
- (5) installments. The first installment vested on 2/20/2016, the second installment vested on 2/20/2017 and the final installment vested on 2/20/2018.
- These units were awarded pursuant to the Restoration Supplemental Retirement Plan ("Restoration Plan"). Generally, units under the Restoration Plan are paid out in cash following termination of employment or later per the Restoration Plan document. Each unit represents a hypothetical AES investment equal to one share of AES Common Stock, and units under the Restoration Plan are 100% vested upon award.
- (6)

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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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