

YUM BRANDS INC
Form 3
January 02, 2015

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 Niccol Brian R
(Last) (First) (Middle)

1 GLEN BELL WAY
(Street)

IRVINE,Â CAÂ 92618
(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)
01/01/2015

3. Issuer Name and Ticker or Trading Symbol
YUM BRANDS INC [YUM]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer ____ Other
(give title below) (specify below)
CEO, Taco Bell

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

4,969.49

I By 401(k) Plan

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 Expiration Date

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

Title Amount or Number of

4. Conversion or Exercise Price of Derivative Security

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

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

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				Shares		(I) (Instr. 5)	
Phantom Stock	Â (1)	Â (2)	Common Stock	16,512.0928	\$ (3)	D	Â
Phantom Stock	Â (1)	Â (2)	Common Stock	17,165.164	\$ (3)	D	Â
Stock Appreciation Right	05/20/2015	02/05/2020	Common Stock	61,232	\$ 39.64	D	Â
Stock Appreciation Right	02/04/2012(4)	02/04/2021	Common Stock	40,734	\$ 49.3	D	Â
Stock Appreciation Right	02/06/2014(4)	02/06/2023	Common Stock	37,885	\$ 62.93	D	Â
Stock Appreciation Right	02/08/2013(4)	02/08/2022	Common Stock	33,102	\$ 64.44	D	Â
Stock Appreciation Right	05/15/2018	05/15/2023	Common Stock	36,561	\$ 69.92	D	Â
Stock Appreciation Right	02/05/2015(4)	02/05/2024	Common Stock	41,260	\$ 70.54	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Niccol Brian R 1 GLEN BELL WAY IRVINE,Â CAAÂ 92618	Â	Â	Â CEO, Taco Bell	Â

Signatures

/s/ M. Gayle
Hobson, POA

01/02/2015

__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) Payments are made in accordance with elections on file.
- (2) The Program does not have specified expiration dates.
- (3) Conversion occurs on a one-for-one basis.
- (4) Vesting occurs on a quarterly basis beginning one year from grant date.

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.