

MOODYS CORP /DE/  
Form 4  
September 07, 2016

# FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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## 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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Huber Linda

(Last) (First) (Middle)

7 WORLD TRADE CENTER, 250 GREENWICH STREET

(Street)

NEW YORK, NY 10007

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
MOODYS CORP /DE/ [MCO]

3. Date of Earliest Transaction (Month/Day/Year)  
09/06/2016

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)

Executive VP and CFO

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

Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

**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 (A) 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)
			Code	V	Amount	Price	
Common Stock	09/06/2016		M <sup>(1)</sup>		7,078	A \$ 26.78	63,637 D
Common Stock	09/06/2016		S <sup>(1)</sup>		7,078	D \$ 110.021	56,559 D
Common Stock	09/06/2016		M <sup>(1)</sup>		35,100	A \$ 30.01	91,659 D
Common Stock	09/06/2016		S <sup>(1)</sup>		35,100	D \$ 110.172	56,559 D
	09/06/2016		M <sup>(1)</sup>		30,284	A \$ 38.61	86,843 D

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Common Stock								
Common Stock	09/06/2016		S <sup>(1)</sup>	30,284	D	\$ 110.221 (4)	56,559	D
Common Stock	09/06/2016		M <sup>(1)</sup>	85,000	A	\$ 38.07	141,559	D
Common Stock	09/06/2016		S <sup>(1)</sup>	85,000	D	\$ 110.075 (5)	56,559	D
Common Stock	09/06/2016		M <sup>(1)</sup>	25,133	A	\$ 25.37	81,692	D
Common Stock	09/06/2016		S <sup>(1)</sup>	25,133	D	\$ 110.17	56,559	D

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

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SEC 1474  
(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 Security (Instr. 3 and 4)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 26.78	09/06/2016		M <sup>(1)</sup>	7,078	02/09/2011 <sup>(6)</sup>	02/09/2020	Common Stock	7,078
Employee Stock Option (right to buy)	\$ 30.01	09/06/2016		M <sup>(1)</sup>	35,100	02/08/2012 <sup>(6)</sup>	02/08/2021	Common Stock	35,100
Employee Stock	\$ 38.61	09/06/2016		M <sup>(1)</sup>	30,284	02/13/2013 <sup>(6)</sup>	02/13/2022	Common Stock	30,284



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