**SOTHEBYS** Form 4 May 16, 2016

# FORM 4

#### **OMB APPROVAL**

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

OMB 3235-0287 Number:

Check this box if no longer subject to Section 16.

January 31, Expires: 2005

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

Estimated average burden hours per response... 0.5

Form 4 or Form 5 obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Wilson Harry James

Symbol SOTHEBYS [BID]

(Month/Day/Year)

(Check all applicable)

(First) (Last)

3. Date of Earliest Transaction

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

1334 YORK AVENUE

05/15/2016

below) 6. Individual or Joint/Group Filing(Check

(Street) 4. If Amendment, Date Original

(Middle)

Applicable Line)

Filed(Month/Day/Year)

\_X\_ 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

NEW YORK, NY 10021

Security

(Instr. 3)

(City) (State) (Zip) 1.Title of 2. Transaction Date 2A. Deemed

4. Securities (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Code Disposed of (D) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5)

5. Amount of 6. Ownership 7. Nature of Securities Form: Direct Indirect Beneficially (D) or Indirect Beneficial Owned Ownership Following (Instr. 4) (Instr. 4)

Reported (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price

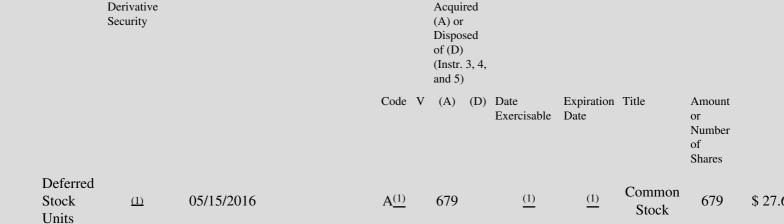
Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of **SEC 1474** information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

| 1. Title of |             | 3. Transaction Date |                    |             |            | 6. Date Exercisable and |                       |            |
|-------------|-------------|---------------------|--------------------|-------------|------------|-------------------------|-----------------------|------------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | Transaction | onof       | Expiration Date         | Underlying Securities | Derivativ  |
| Security    | or Exercise |                     | any                | Code        | Derivative | (Month/Day/Year)        | (Instr. 3 and 4)      | Security   |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8)  | Securities |                         |                       | (Instr. 5) |

### Edgar Filing: SOTHEBYS - Form 4



### **Reporting Owners**

| Reporting Owner Name / Address                               | Relationships |           |         |       |  |
|--|---------------|-----------|---------|-------|--|
| ·r····   | Director      | 10% Owner | Officer | Other |  |
| Wilson Harry James<br>1334 YORK AVENUE<br>NEW YORK, NY 10021 | X             |           |         |       |  |

# **Signatures**

/s/ Jonathan Olsoff as Attorney-In-Fact 05/16/2016

\*\*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).

The Deferred Stock Units were accrued under the Company's Stock Compensation Plan for Non-Employee Directors (as amended and restated, the "Plan") as a result of a partial or full deferral election with respect to stock compensation paid under the Plan. These units will be settled, on a one-for-one basis, into shares of the Company's Common Stock (except that fractional shares, if any, will be settled in cash) after the reporting person's termination of service on the Company's Board.

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.

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