SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL									
OMB Number:	3235-028								
Estimated average burden									

Section 16.	box if no longer Form 4 or Forn may continue. 5 L(b).	n 5 í		ed purs	suant	to Section ion 30(h) o	16(a)	OMB Number: 3235-0287 Estimated average burden hours per response: 0.5										
1. Name and Address of Reporting Person* Craigie James					2. Issuer Name and Ticker or Trading Symbol <u>NEWELL BRANDS INC.</u> [NWL]										all applicable Director	10% Owr			
(Last) (First) (Middle) C/O NEWELL BRANDS INC. 6655 PEACHTREE DUNWOODY ROAD				3. Date of Earliest Transaction (Month/Day/Year) 07/30/2021									Officer (give title Other (specify below) below)						
(Street) ATLANTA GA 30328				4. If Amendment, Date of 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					
(City)																			
1 Title of Secu	urity (Instr 3)	Та	able I - No	n-Deriv			2A. Deeme		quired, D	isp		f, or Bei		-	5. Amount o	f	6. Own	ership 7	7. Nature of
Date				Date			Execution Date if any (Month/Day/Yes		e, Transactio Code (Inst ear) 8)		n Disposed Of (D) (Instr. 3, 4 au			and 5) Securities Beneficially Following Re Transaction(Owned or India eported (Instr. 4 (s)		Direct (D) I ect (I) E	ndirect Beneficial Dwnership Instr. 4)
			Code V Amount (A								Price								
						cal	ls, warra	ants	, options,	, c	onvertil	ole secu	rities)	Ĵ				10.	
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Da if any (Month/Day/Y	Co	ansacti ode (Ins	ion str.	5. Number Derivative Securities Acquired (or Dispose (D) (Instr. 3 and 5)	A) ed of	Expiration Date (Month/Day/Year)) I of		7. Title an Securities Derivative 3 and 4)	Underly	/ing	ng Derivative		9. Number of derivative Securities Beneficially Owned Following Reported		11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Co	ode V	,	(A)	(D)	Date Exercisable		Expiration Date	Title	Amount o Number o Shares			Transaction(s) (Instr. 4)			
Deferred Compensation Phantom Stock ⁽¹⁾⁽²⁾⁽³⁾⁽⁴⁾	(5)	07/30/2021		1	A		1,363.636		(6)		(7)	Common Stock	1,36	3.636	\$0 1,3		1.636	D	
Deferred Compensation Phantom Stock ⁽¹⁾⁽²⁾⁽³⁾⁽⁸⁾	(5)								(6)		(7)	Common Stock	1,225	5.1233		1,225.1233 ⁽⁹⁾		D	
Deferred Compensation Phantom Stock ⁽¹⁾⁽²⁾⁽³⁾⁽¹⁰⁾	(5)								(6)		(7)	Common Stock	1,402	7.9906	1,407.		1,407.9906 ⁽¹¹⁾		
Deferred Compensation Phantom Stock ⁽¹⁾⁽²⁾⁽³⁾⁽¹²⁾	(5)								(6)		(7)	Common Stock	1,960	6.5164	1,966.5164		1,966.5164 ⁽¹³⁾ D		
Deferred Compensation Phantom Stock ⁽¹⁾⁽²⁾⁽³⁾⁽¹⁴⁾	(5)								(6)		(7)	Common Stock	2,14	5.1426		2,145.1426 ⁽¹⁵⁾		5.1426 ⁽¹⁵⁾ D	
Deferred Compensation Phantom Stock ⁽¹⁾⁽²⁾⁽³⁾⁽¹⁶⁾	(5)								(6)		(7)	Common Stock	2,909	9.0413		2,909.04	413 ⁽¹⁷⁾	D	
Deferred Compensation Phantom Stock ⁽¹⁾⁽²⁾⁽³⁾⁽¹⁸⁾	(5)								(6)		(7)	Common Stock	1,770	5.2782		1,776.2	782 ⁽¹⁹⁾	D	
Deferred RSU Phantom Stock ⁽²⁰⁾	(21)								(21)		(7)	Common Stock	12,15	4.3969		12,154.3	3969 ⁽²²⁾	D	
Deferred RSU Phantom Stock ⁽²³⁾	(24)								(24)		(7)	Common Stock	9,610	5.1096		9,616.1	096 ⁽²⁵⁾	D	
Deferred RSU Phantom Stock ⁽²⁶⁾	(27)								(27)		(7)	Common Stock	7,715	5.1976		7,715.1	976 ⁽²⁸⁾	D	

Explanation of Responses:

1. Pursuant to the 2008 Deferred Compensation Plan, as amended (the "DCP"), non-employee directors who earn quarterly cash retainer fees for their services on the Company's Board may elect to defer receipt of their quarterly cash fees until after the end of the director's service on the Board, and to direct the investment of the deferred cash into phantom stock units which track the performance of the Company's Common Stock for the duration of the deferral period. The number of phantom stock units so acquired is calculated by dividing the deferred cash retainer amount by the closing price for the Company's Common Stock on the date the cash retainer is pavable.

2. Dividends payable on the Company's Common Stock also accrue with respect to phantom stock units, and phantom stock units are subject to dividend reinvestment during the deferral period.

3. The aggregate value of the phantom stock units, including any additional phantom stock units acquired through dividend reinvestment during the deferral period, will be paid out in cash to the reporting person after the end of his service on the Board. At such time, the cash value of all of the phantom stock units will be calculated based on the closing price for the Company's Common Stock on the payment date, in accordance with the DCP and the reporting person's elections for his director compensation for the period in which the units were earned, which elections are on file with the Company.

4. These phantom stock units represent the third quarter 2021 director fees and were issued to the reporting person on July 30, 2021, based on the Company's closing price per share on that date of \$24.75.

5. At the end of the deferral period, the cash value of the phantom stock units will be calculated based on the closing price for the Company's Common Stock on the payment date, in accordance with the DCP and the reporting person's elections for his director compensation for the period in which the units were earned, which elections are on file with the Company.

6. The reporting person has elected to defer settlement of the cash value of the phantom stock units until after the end of his service on the Board of the Company, pursuant to the terms of the DCP. 7. N/A

8. These phantom stock units represent the second quarter 2021 director fees and were issued to the reporting person on May 3, 2021, based on the Company's closing price per share on that date.

9. The reported total includes 10.2205 additional phantom stock units acquired by the reporting person since the date of his last report pursuant to a dividend reinvestment feature of the DCP. The additional phantom stock units acquired pursuant to the dividend reinvestment feature will be settled for cash after the end of the reporting person's service on the Company's Board.

10. These phantom stock units represent the first quarter 2021 director fees and were issued to the reporting person on February 1, 2021, based on the Company's closing price per share on that date.

11. The reported total includes 11.7460 additional phantom stock units acquired by the reporting person since the date of his last report pursuant to a dividend reinvestment feature of the DCP. The additional phantom stock units acquired pursuant to the dividend reinvestment feature will be settled for cash after the end of the reporting person's service on the Company's Board.

12. These phantom stock units represent the fourth quarter 2020 director fees and were issued to the reporting person on October 30, 2020, based on the Company's closing price per share on that date.

13. The reported total includes 16.4055 additional phantom stock units acquired by the reporting person since the date of his last report pursuant to a dividend reinvestment feature of the DCP. The additional phantom stock units acquired pursuant to the dividend reinvestment feature will be settled for cash after the end of the reporting person's service on the Company's Board.

14. These phantom stock units represent the third quarter 2020 director fees and were issued to the reporting person on July 31, 2020, based on the Company's closing price per share on that date.

15. The reported total includes 17.8956 additional phantom stock units acquired by the reporting person since the date of his last report pursuant to a dividend reinvestment feature of the DCP. The additional phantom stock units acquired pursuant to the dividend reinvestment feature will be settled for cash after the end of the reporting person's service on the Company's Board.

16. These phantom stock units represent the second quarter 2020 director fees and were issued to the reporting person on May 1, 2020, based on the Company's closing price per share on that date. 17. The reported total includes 24.2684 additional phantom stock units acquired by the reporting person since the date of his last report pursuant to a dividend reinvestment feature of the DCP. The additional phantom stock units acquired pursuant to the dividend reinvestment feature will be settled for cash after the end of the reporting person's service on the Company's Board.

18. These phantom stock units represent the first quarter 2020 director fees and were issued to the reporting person on February 3, 2020, based on the Company's closing price per share on that date.

19. The reported total includes 14.8184 additional phantom stock units acquired by the reporting person since the date of his last report pursuant to a dividend reinvestment feature of the DCP. The additional phantom stock units acquired pursuant to the dividend reinvestment feature will be settled for cash after the end of the reporting person's service on the Company's Board.

20. Represents a vested award of 12,053 restricted stock units ("RSUs") first granted on May 11, 2020. The reporting person elected to defer settlement on the scheduled vesting date and the RSUs instead converted to an equal number of phantom stock units, in accordance with the DCP. The 12,053 phantom stock units will settle on a one-for-one basis for shares of the Company's Common Stock after the end of the reporting person's service on the Company's Board.

21. The reporting person's 12,053 phantom stock units will convert to shares of the Company's Common Stock on a one-for-one basis after the end of the reporting person's service on the Company's Board, in accordance with the DCP.

22. The reported total includes 101.3969 additional phantom stock units acquired by the reporting person since the date of his last report pursuant to a dividend reinvestment feature of the DCP. The additional phantom stock units acquired pursuant to the dividend reinvestment feature will be settled for cash after the end of the reporting person's service on the Company's Board.

23. Represents a vested award of 9,085 restricted stock units ("RSUs") first granted on May 7, 2019. The reporting person elected to defer settlement on the scheduled vesting date and the RSUs instead converted to an equal number of phantom stock units, in accordance with the DCP. The 9,085 phantom stock units will settle on a one-for-one basis for shares of the Company's Common Stock after the end of the reporting person's service on the Company's Board.

24. The reporting person's 9,085 phantom stock units will convert to shares of the Company's Common Stock on a one-for-one basis after the end of the reporting person's service on the Company's Board, in accordance with the DCP.

25. The reported total includes 80.2214 additional phantom stock units acquired by the reporting person since the date of his last report pursuant to a dividend reinvestment feature of the DCP. The additional phantom stock units acquired pursuant to the dividend reinvestment feature will be settled for cash after the end of the reporting person's service on the Company's Board.

26. Represents a vested award of 6,881 restricted stock units ("RSUs") first granted on May 15, 2018. The reporting person elected to defer settlement on the scheduled vesting date and the RSUs instead converted to an equal number of phantom stock units, in accordance with the DCP. The 6,881 phantom stock units will settle on a one-for-one basis for shares of the Company's Common Stock after the end of the reporting person's service on the Company's Board.

27. The reporting person's 6,881 phantom stock units will convert to shares of the Company's Common Stock on a one-for-one basis after the end of the reporting person's service on the Company's Board, in accordance with the DCP

28. The reported total includes 64.3633 additional phantom stock units acquired by the reporting person since the date of his last report pursuant to a dividend reinvestment feature of the DCP. The additional phantom stock units acquired pursuant to the dividend reinvestment feature will be settled for cash after the end of the reporting person's service on the Company's Board.

Remarks:

/s/ Raj Dave, attorney-in-fact for 08/03/2021

James R. Craigie

** Signature of Reporting Person Date

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

 \ast 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.