

AES CORP
Form 3
January 09, 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 *		2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol	
Â Mendoza Tish		(Month/Day/Year)	AES CORP [AES]	
(Last)	(First)	(Middle)	4. Relationship of Reporting Person(s) to Issuer	5. If Amendment, Date Original Filed(Month/Day/Year)
4300 WILSON BOULEVARD			(Check all applicable)	
(Street)			<input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) Sr. VP & Chief HR Officer	
ARLINGTON,Â VAÂ 22203			6. Individual or Joint/Group Filing(Check Applicable Line)	
(City)	(State)	(Zip)	<input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> 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	23,504 ⁽¹⁾	D	Â
Common Stock	17,102	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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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 <u>(2)</u>	02/23/2017	Common Stock	1,229	\$ 22.28	D	Â
Stock Option (Right to Buy)	Â <u>(3)</u>	02/22/2018	Common Stock	2,369	\$ 18.87	D	Â
Stock Option (Right to Buy)	Â <u>(4)</u>	02/15/2023	Common Stock	32,028	\$ 11.17	D	Â
Stock Option (Right to Buy)	Â <u>(5)</u>	02/21/2024	Common Stock	24,643	\$ 14.63	D	Â
Units	Â <u>(6)</u>	Â <u>(6)</u>	Common Stock	2,358	\$ <u>(6)</u>	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Mendoza Tish 4300 WILSON BOULEVARD ARLINGTON, VA 22203	Â	Â	Â Sr. VP & Chief HR Officer	Â

Signatures

Letitia (Tish) D. Mendoza 01/09/2015

**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).

- Includes 10,120 Restricted Stock Units ("RSUs") granted under The AES Corporation 2003 Long Term Compensation Plan which will
- (1) vest 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.

This stock option award was granted pursuant to The AES Corporation 2003 Long Term Compensation Plan and vested in three equal annual installments. The first installment vested on 2/23/2008, the second installment vested on 2/23/2009 and the final installment vested on 2/23/2010.
 - (2) This stock option award was granted pursuant to The AES Corporation 2003 Long Term Compensation Plan and vested in three equal annual installments. The first installment vested on 2/22/2009, the second installment vested on 2/22/2010 and the final installment vested on 2/22/2011.
 - (3) This stock option award was granted pursuant to The AES Corporation 2003 Long Term Compensation Plan and will vest in three equal annual installments if certain continuing employment conditions are satisfied. If such continuing employment conditions are satisfied, the first installment vests on 2/15/2014, the second installment will vest on 2/15/2015 and the final installment will vest on 2/15/2016.
 - (4) This stock option award was granted pursuant to The AES Corporation 2003 Long Term Compensation Plan and will vest in three equal annual installments if certain continuing employment conditions are satisfied. If such conditions are satisfied, the first installment will vest on 2/21/2015, the second installment will vest on 2/21/2016 and the final installment will vest on 2/21/2017.

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- (6) These units were awarded pursuant to the Restoration Supplemental Retirement Plan ("Restoration Plan"). Generally, units under this plan are paid out in cash following termination of employment or later as per the terms of 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.

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.