

GENERAL DYNAMICS CORP

Form 3

April 04, 2017

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

OMB  
Number: 3235-0104Expires: January 31,  
2005Estimated average  
burden hours per  
response... 0.5**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 Moss William A

(Last) (First) (Middle)

C/O GENERAL DYNAMICS  
CORPORATION,Â 2941  
FAIRVIEW PARK DR.

(Street)

FALLS  
CHURCH,Â VAÂ 22042

(City) (State) (Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

04/01/2017

3. Issuer Name **and** Ticker or Trading Symbol  
GENERAL DYNAMICS CORP [GD]4. Relationship of Reporting  
Person(s) to Issuer5. If Amendment, Date Original  
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Vice President and Controller

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 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

94

D

Â

Common Stock

2,545 <sup>(1)</sup>

D

Â

Common Stock

1,333.083 <sup>(2)</sup>

D

Â

Common Stock

1,051.99

I

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)**

## Edgar Filing: GENERAL DYNAMICS CORP - Form 3

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date <small>(Month/Day/Year)</small>		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Stock Options	Â <u>(3)</u>	03/04/2021	Common Stock	10,580	\$ 112.4	D	Â
Stock Options	Â <u>(4)</u>	03/03/2025	Common Stock	5,560	\$ 136.78	D	Â
Stock Options	Â <u>(5)</u>	03/01/2026	Common Stock	7,500	\$ 135.85	D	Â
Stock Options	Â <u>(6)</u>	02/28/2027	Common Stock	8,240	\$ 191.71	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Moss William A C/O GENERAL DYNAMICS CORPORATION 2941 FAIRVIEW PARK DR. FALLS CHURCH, VA 22042	Â	Â	Â Vice President and Controller	Â

## Signatures

L. Neal Wheeler, by Power of Attorney 04/04/2017

\_\_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) Represents shares of restricted stock subject to service-based vesting that will be released three years or approximately four years after the grant date, depending on the terms of the grant.
- (2) Represents performance restricted stock units (PRSUs) and accrued dividend equivalents that have been earned based on satisfaction of the performance metric, which was returned on invested capital. The PRSUs are subject to additional time-vesting requirements.
- (3) Fifty percent became exercisable on 03/05/2015 and the remaining fifty percent became exercisable on 03/05/2016.
- (4) Fifty percent became exercisable on 03/04/2017 and the remaining fifty percent will become exercisable on 03/04/2018.
- (5) Fifty percent will become exercisable on 03/02/2018 and the remaining fifty percent will become exercisable on 03/02/2019.
- (6) Fifty percent will become exercisable 03/01/2019 and the remaining fifty percent will become exercisable 03/01/2020.

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.