Brown Marcus V Form 4 December 13, 2018

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

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response...

Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations may continue.

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

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Brown Marcus V

2. Issuer Name and Ticker or Trading Symbol

Issuer

5. Relationship of Reporting Person(s) to

(Middle)

ENTERGY CORP /DE/ [ETR]

(Check all applicable)

EVP & General Counsel

(Last) (First)

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

12/12/2018

Director

10% Owner Other (specify

C/O ENTERGY CORPORATION LEGAL DEPARTMENT, 639

LOYOLA AVENUE, 26TH FLOOR

(Street)

X\_ Officer (give title below)

4. If Amendment, Date 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

#### NEW ORLEANS, LA 70113

| (City)                               | (State)                                 | (Zip) Tabl                                                  | le I - Non-I                                                                               | Derivative : | Securi | ties Acqu                                                                   | ired, Disposed of | , or Beneficial                                          | ly Owned                                                          |
|--------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------------------------------------------------------------|--------------|--------|-----------------------------------------------------------------------------|-------------------|----------------------------------------------------------|-------------------------------------------------------------------|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. 4. Securities Ac<br>Transaction(A) or Disposed<br>Code (Instr. 3, 4 and 3<br>(Instr. 8) |              |        | d of (D) Securities 5) Beneficially Owned Following Reported Transaction(s) |                   | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|                                      |                                         |                                                             | Code V                                                                                     | Amount       | (D)    | Price                                                                       | (Instr. 3 and 4)  |                                                          |                                                                   |
| Common<br>Stock                      | 12/12/2018                              |                                                             | M                                                                                          | 3,000        | A      | \$ 77.1                                                                     | 27,005 (1)        | D                                                        |                                                                   |
| Common<br>Stock                      | 12/12/2018                              |                                                             | S(2)                                                                                       | 3,000        | D      | \$ 90                                                                       | 24,005            | D                                                        |                                                                   |
| Common<br>Stock                      | 12/12/2018                              |                                                             | M                                                                                          | 5,200        | A      | \$ 64.6                                                                     | 29,205            | D                                                        |                                                                   |
| Common<br>Stock                      | 12/12/2018                              |                                                             | S(2)                                                                                       | 5,200        | D      | \$ 90                                                                       | 24,005            | D                                                        |                                                                   |
| Common<br>Stock                      | 12/12/2018                              |                                                             | M                                                                                          | 10,000       | A      | \$<br>63.17                                                                 | 34,005            | D                                                        |                                                                   |

## Edgar Filing: Brown Marcus V - Form 4

| Common<br>Stock | 12/12/2018 | S(2) | 10,000 | D | \$ 90       | 24,005 | D |           |
|-----------------|------------|------|--------|---|-------------|--------|---|-----------|
| Common<br>Stock | 12/12/2018 | M    | 10,000 | A | \$<br>70.56 | 34,005 | D |           |
| Common<br>Stock | 12/12/2018 | S(2) | 10,000 | D | \$ 90       | 24,005 | D |           |
| Common<br>Stock |            |      |        |   |             | 715    | I | By 401(k) |

(e.g., puts, calls, warrants, options, convertible securities)

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

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.

SEC 1474

(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | 5. Number of orDerivative 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 Securities (Instr. 3 and 4) |                                     |
|-----------------------------------------------------|-----------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|----------------------------------------|-------------------------------------------------------------------------------------------|----------------------------------------------------------|--------------------|---------------------------------------------------------------|-------------------------------------|
|                                                     |                                                                       |                                         |                                                             | Code V                                 | (A) (D)                                                                                   | Date<br>Exercisable                                      | Expiration<br>Date | Title                                                         | Amount<br>or<br>Number<br>of Shares |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 77.1                                                               | 12/12/2018                              |                                                             | M                                      | 3,000                                                                                     | (3)                                                      | 01/28/2020         | Common<br>Stock                                               | 3,000                               |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 64.6                                                               | 12/12/2018                              |                                                             | M                                      | 5,200                                                                                     | <u>(4)</u>                                               | 01/31/2023         | Common<br>Stock                                               | 5,200                               |
| Employee<br>Stock<br>Option<br>(Right to<br>Buy)    | \$ 63.17                                                              | 12/12/2018                              |                                                             | М                                      | 10,000                                                                                    | <u>(5)</u>                                               | 01/30/2024         | Common<br>Stock                                               | 10,000                              |
| Employee<br>Stock<br>Option                         | \$ 70.56                                                              | 12/12/2018                              |                                                             | M                                      | 10,000                                                                                    | <u>(6)</u>                                               | 01/28/2026         | Common<br>Stock                                               | 10,000                              |

(Right to Buy)

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Brown Marcus V C/O ENTERGY CORPORATION LEGAL DEPARTMENT 639 LOYOLA AVENUE, 26TH FLOOR NEW ORLEANS, LA 70113

**EVP & General Counsel** 

## **Signatures**

/s/ Daniel T. Falstad by power of attorney

12/13/2018

\*\*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).
- (1) Includes 124 shares of Entergy common stock acquired through the dividend reinvestment feature of Entergy Corporation's equity ownership plan.
- (2) The sale reported in this Form 4 was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on March 5, 2018.
- (3) The options vested in three equal annual installments on January 28, 2011, 2012 and 2013.
- (4) The options vested in three equal annual installments on January 31, 2014, 2015 and 2016.
- (5) The options vested in three equal annual installments on January 30, 2015, 2016 and 2017.
- (6) The options vested on January 28, 2017.

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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