## Edgar Filing: Stern Alexander F. - Form 4

Stern Alexande Form 4										
August 21, 201								OMB A	PPROVAL	
FORM	UNITED	STATES			AND EX( , D.C. 202		COMMISSIO		3235-028	7
Check this b if no longer subject to Section 16. Form 4 or Form 5 obligations may continu <i>See</i> Instructi	<b>STATEN</b> Filed pur e. Section 17(	F CHAN Section 1 Public U	NGES IN SECUI 16(a) of th Itility Hol	BENEFI RITIES ne Securit	Estimated burden hou response	Estimated average burden hours per response 0				
1(b).	,									
(Print or Type Resp	ponses)									
1. Name and Adda Stern Alexande		Person <u>*</u>	Symbol	er Name <b>an</b> Ltd [LAZ	d Ticker or	Trading	5. Relationship o Issuer			
(Last)	(First) (1	Middle)		of Earliest T	-		(Cho	eck all applicabl	e)	
C/O LAZARD ROCKEFELLI				Day/Year)			Director X Officer (gi below) Chief		% Owner her (specify cer	
(Street)			4. If Amendment, Date Original Filed(Month/Day/Year)			<ul> <li>6. Individual or Joint/Group Filing(Check</li> <li>Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> <li> Form filed by More than One Reporting</li> </ul>				
NEW YORK,	NY 10112						Person	whole than one R	epotting	
(City)	(State)	(Zip)	Tab	le I - Non-	Derivative <b>S</b>	Securities A	cquired, Disposed	of, or Beneficia	lly Owned	
	Transaction Date onth/Day/Year)		Date, if	Code (Instr. 8)		(A) or of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
Reminder: Report	on a separate line	e for each cl	ass of sec	urities bene	Person inform require	ns who res ation cont ed to resp ys a curre	or indirectly. Spond to the colle tained in this forn ond unless the fo ntly valid OMB co	n are not rm	SEC 1474 (9-02)	

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

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number	6. Date Exercisable and	7. Title and Amount of	8. Pr
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	onof Derivative	Expiration Date	Underlying Securities	Deriv
Security	or Exercise		any	Code	Securities	(Month/Day/Year)	(Instr. 3 and 4)	Secu

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(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr.			d d of , 4,				(In	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock Units (1)	<u>(2)</u>	08/17/2018		А		3,030		(3)	(3)	Class A Common Stock	3,030	

## **Reporting Owners**

Reporting Owner Name / Address	Relationships								
	Director	10% Owner	Officer	Other					
Stern Alexander F. C/O LAZARD LTD 30 ROCKEFELLER PLAZA NEW YORK, NY 10112			Chief Operating Officer						
Signatures									
/s/ Alexander F. Stern by Scott	D. Hoffn	nan under a l	P 08/21/2018						

of A

\*\*Signature of Reporting Person

## **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).

Date

- (1) Additional Restricted Stock Units ("RSUs") were acquired pursuant to the dividend equivalent reinvestment provisions of underlying Performance-based Restricted Stock Unit ("PRSU") awards.
- (2) Each RSU represents a contingent right to receive one share of Class A Common Stock.
- (3) Of these RSUs, 1,340 will vest on or around March 1, 2019, 961 will vest on or around March 2, 2020, and 729 will vest on or around March 1, 2021.
- (4) Amount excludes 125,702 shares of Class A Common Stock and 86,411 PRSUs directly or indirectly beneficially owned by the reporting person.

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.