

Wassersug Mark
Form 3
November 16, 2017

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 *

Wassersug Mark

(Last) (First) (Middle)

5660 NEW NORTHSIDE
DRIVE

(Street)

ATLANTA, GA 30328

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

11/15/2017

3. Issuer Name and Ticker or Trading Symbol
Intercontinental Exchange, Inc. [ICE]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner

☒ Officer ☐ Other
(give title below) (specify below)

Chief Operating Officer

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

24,078 ⁽¹⁾

D

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)

Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Employee Stock Option (right to buy) Holding	Â (2)	01/11/2023	Common Stock	995	\$ 25.87	D	Â
Employee Stock Option (right to buy) Holding	Â (2)	01/17/2024	Common Stock	18,070	\$ 41.37	D	Â
Employee Stock Option (right to buy) Holding	Â (3)	01/20/2025	Common Stock	22,290	\$ 41.59	D	Â
Employee Stock Option (right to buy) Holding	Â (4)	01/14/2026	Common Stock	18,980	\$ 50.01	D	Â
Employee Stock Option (right to buy) Holding	Â (5)	01/18/2027	Common Stock	19,065	\$ 57.31	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Wassersug Mark 5660 NEW NORTHSIDE DRIVE ATLANTA, GA 30328	Â	Â	Â Chief Operating Officer	Â

Signatures

/s/ Andrew J. Surdykowski,
Attorney-in-fact

11/16/2017

__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) The common stock number referred in Table I is an aggregate number and represents 9,055 shares of common stock and 15,023 unvested performance based restricted stock units, for which the performance period has been satisfied. These performance based restricted stock units vest over a three year period, in which 33.33% of the units vest each year. The satisfaction of the 2017 performance based restricted units tied to earnings before interest, taxes, depreciation, and amortization, ("EBITDA") and the corresponding number of shares to be issued pursuant to these awards, will not be determined until February 2018 and will be reported at the time of vesting. The satisfaction of the 2017 total shareholder return performance based restricted stock units and the corresponding number of shares to be issued pursuant to these awards, will not be determined until February 2020 and will be reported at the time of vesting.
- (2) These options are fully vested.
- (3) These options vest in accordance with the following schedule: 33.33% of the options vested on January 20, 2016, and the remaining 66.67% of the options vest in equal monthly installments between February 20, 2016 and January 20, 2018.
- (4) These options vest in accordance with the following schedule: 33.33% of the options vested on January 14, 2017, and the remaining 66.67% of the options vest in equal monthly installments between February 14, 2017 and January 14, 2019.
- (5) These options vest in accordance with the following schedule: 33.33% of the options vest on January 18, 2018, 33.33% of the options vest on January 18, 2019 and 33.33% of the options vest on January 18, 2020.

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

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