

INTERNATIONAL BUSINESS MACHINES CORP

Form 3

January 03, 2014

**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 \*

Â Schroeter Martin J

(Last) (First) (Middle)

IBM CORPORATION,Â ONE  
NEW ORCHARD ROAD

(Street)

ARMONK,Â NYÂ 10504

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)  
01/01/2014

3. Issuer Name and Ticker or Trading Symbol

INTERNATIONAL BUSINESS MACHINES CORP  
[IBM]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer  Other  
(give title below) (specify below)  
Sr. VP and CFO

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

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)

Common Stock

2. Amount of Securities Beneficially Owned (Instr. 4)

3,961.5944

3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)

D Â

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

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)**

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and Expiration Date (Month/Day/Year)

Date Exercisable

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

Title

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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	Expiration Date	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)
Emp. Stock Option (right to buy)	05/08/2009 <sup>(1)</sup> 05/07/2016	Common Stock 213	\$ 82.76	D Â
Emp. Stock Option (right to buy)	05/08/2010 <sup>(1)</sup> 05/07/2017	Common Stock 678	\$ 102.8	D Â
Rst. Stock Unit	Â <sup>(2)</sup> Â <sup>(2)</sup>	Common Stock 4,386	\$ 0	D Â
Rst. Stock Unit	Â <sup>(3)</sup> Â <sup>(3)</sup>	Common Stock 8,000	\$ 0	D Â
Rst. Stock Unit	Â <sup>(4)</sup> Â <sup>(4)</sup>	Common Stock 4,951	\$ 0	D Â
Phantom Stock Unit	Â <sup>(5)</sup> Â <sup>(5)</sup>	Common Stock 6,950.1822	\$ 0	D Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Schroeter Martin J IBM CORPORATION ONE NEW ORCHARD ROAD ARMONK, NY 10504	Â	Â	Â Sr. VP and CFO	Â

## Signatures

D. Cummins on behalf of M. J. Schroeter 01/03/2014

\*\*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) This grant vested in its entirety on the date shown above.
- (2) These units are payable in cash or the company's common stock upon lapse of the restrictions on December 21, 2014.
- (3) These units are payable in cash or the company's common stock upon lapse of the restrictions on December 22, 2015.
- (4) These units are payable in cash or the company's common stock upon lapse of the restrictions on December 18, 2017.

Phantom stock units acquired under the IBM Excess 401(k) Plus Plan convert to the cash value of the company's common stock on a one-for-one basis, and distribution is deferred until separation from the company. The reporting person may transfer some of these phantom stock units into an alternative investment account under such plan.

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.