

## Sheinberg, Samuel I.

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**From:** HSRHelp  
**Sent:** Monday, June 5, 2023 3:10 PM  
**To:** Walsh, Kathryn E.; Berg, Karen E.; Shaffer, Kristin; Sheinberg, Samuel I.; Six, Anne; Whitehead, Nora; Fetterman, Michelle  
**Subject:** FW: 801.30 as applied to employee-based compensation awards

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**From:** Musick, Vesselina <vmusick@ftc.gov>  
**Sent:** Monday, June 5, 2023 3:10:16 PM (UTC-05:00) Eastern Time (US & Canada)  
**To:** [REDACTED]  
**Cc:** HSRHelp <HSRHelp@ftc.gov>  
**Subject:** RE: 801.30 as applied to employee-based compensation awards

**CONTROLLED**

Confirmed.  
Kind regards.  
**Vesselina Musick**  
Attorney | Federal Trade Commission | Premerger Notification Office  
Direct +1 202.326.2307 | Email: [vmusick@ftc.gov](mailto:vmusick@ftc.gov) | [www.ftc.gov](http://www.ftc.gov)

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**From:** [REDACTED] >  
**Sent:** Monday, June 5, 2023 10:03:23 AM (UTC-05:00) Eastern Time (US & Canada)  
**To:** HSRHelp <HSRHelp@ftc.gov>  
**Subject:** 801.30 as applied to employee-based compensation awards

Hello PNO,

I just want to confirm that you are still of the view that acquisitions of voting securities through stock-based compensation awards to company employees, officers or directors, such as the vesting of RSUs/PSAs, the exercise of stock options, or other executive compensation arrangements, should be filed as conversions under Rule 801.30, as indicated in PNPM opinion 217.

Many thanks,

[REDACTED]

[REDACTED]

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[REDACTED]