SEC Form 3 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 or Section 30(h) of the Investment Company Act of 1940

(Month/Day 07/01/202		3. Issuer Name and Ticker or Trading Symbol <u>NORTHROP GRUMMAN CORP /DE/</u> [ NOC ]						
		Issuer (Check all applicable)	able)			5. If Amendment, Date of Original Filed (Month/Day/Year)		
-		Officer (give title below)	Other (specify below)		<ul> <li>6. Individual or Joint/Group Filing (Check Applicable Line)</li> <li>Form filed by One Reporting Person</li> <li>Form filed by More than One Reporting Person</li> </ul>			
Table I - Non-Derivative Securities Beneficially Owned								
1. Title of Security (Instr. 4)		Beneficially Owned (Instr.	Form: D (D) or In			4. Nature of Indirect Beneficial Ownership (Instr. 5)		
Common Stock		1,692.92	D	D				
Common Stock					Held in Northrop Grumman Savings Plan <sup>(1)</sup>			
Table II - Derivative Securities Beneficially Owned           (e.g., puts, calls, warrants, options, convertible securities)								
1. Title of Derivative Security (Instr. 4) Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		Conversi or Exerci		e Form:	6. Nature of Indirect Beneficial Ownership (Instr.	
Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security		Direct (D) or Indirect (I) (Instr. 5)	5)	
(2)	(2)	Common Stock	2,215 <sup>(3)</sup>	(2)		D		
(4)	(4)	Common Stock	5,126 <sup>(5)</sup>	(4)		D		
	Table II - Nor able I - Nor 2. Date Exerc Expiration Da (Month/Day/O	able I - Non-Derivat Table II - Non-Derivat ., puts, calls, warra 2. Date Exercisable and Expiration Date (Month/Day/Year) Date (2) (2)	07/01/2024       4. Relationship of Reporting Issuer (Check all applicable) Director         ■       Officer (give title below) CVP & Pres. Defendent         ■       2. Amount of Securities Beneficiant         ■       1,692.92         0.0015       0.0015         Table II - Derivative Securities Beneficiant       0.0015         Table II - Derivative Securities Beneficiant       3. Title and Amount of Securities Beneficiant         2. Date Exercisable and Expiration Date (Month/Day/Year)       3. Title and Amount of Securitive Securities Beneficiant         2. Date Exercisable and Expiration Date (Month/Day/Year)       3. Title and Amount of Securitive Securities Beneficiant         (2)       (2)       Common Stock	07/01/2024       4. Relationship of Reporting Person(s) Issuer (Check all applicable) Director       10% O Officer (give Officer (give title below)         able 1 - Non-Derivative Securities Beneficially Ov Event       2. Amount of Securities Beneficially Owned (Instr. 4)       3. Owne Form: D (D) or In (I) (Instr. 4)         able 1 - Non-Derivative Securities Beneficially Ov U       3. Owne Form: D (D) or In (I) (Instr. 4)       3. Owne Form: D (D) or In (I) (Instr. 4)         Table II - Derivative Securities Beneficially Own., puts, calls, warrants, options, convertible securities Underlying Derivative Securities Underlying Derivative Securities Underlying Derivative Securities (Month/Day/Year)       3. Title and Amount of Securities Underlying Derivative Securities Underlying Derivative Securities Underlying Derivative Securities Underlying Derivative Securities (Instr. 4)         Date (2)       (2)       (2)       Common Stock       2,215 <sup>(3)</sup>	07/01/2024       4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director       10% Owner         Image: Check all applicable) Director       10% Owner         Image: Check all applicable) Director       0fficer (give Officer (give Other (specify below)         Image: Check all applicable) Director       0fficer (give Other (specify below)         Image: Check all applicable) Director       0fficer (give Other (specify below)         Image: Check all applicable) Director       0fficer (give Other (specify below)         Image: Check all applicable) Other (specify Beneficially Owned (Instr. 4)       3. Ownership Form: Direct (D) or Indirect (D) or Ind	07/01/2024       4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director       5. If File         0fficer (give 0fficer (give	07/01/2024       4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director       5. If Amendment, Filed (Month/Day/ Generation (Month/Day)         0 Officer (give Officer (give Delow)       0.001 (Check Applicable) Director         able I - Non-Derivative Securities Beneficially Owned       3. Ownership Form filed t Person Form filed t (I) (Instr. 5)       3. Ownership Form: Direct (D) or Indirect (D) or Indirect (D) or Indirect (D) or Indirect (D) or Indirect (D) or Indirect       4. Nature of Indirect Ownership (Instr. 6)         1,692.92       D       1       Held in Northrop Savings Plan <sup>(1)</sup> Table II - Derivative Securities Beneficially Owned ., puts, calls, warrants, options, convertible securities ., puts, calls, warrants, options, convertible securities       4. Conversion Ounderlying Derivative Securities Price of Derivative of Sharees       5. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)         2. Date Exercisable and Expiration Date (Month/Day/Year)       3. Title and Amount of Securities Underlying Derivative Securities Sharees       5. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	

## Explanation of Responses:

1. Held in the Northrop Grumman Savings Plan (the "Plan"), a qualified defined contribution plan, as of July 1, 2024. Share totals with respect to the Plan are based upon unit accounting and therefore may reflect a change in units attributable to an individual though no acquisition or disposition occurred.

2. Each Restricted Stock Right ("RSR") represents a contingent right to receive an equivalent number of shares in Issuer common stock, or, at the election of the Issuer's Compensation Committee, cash or a combination of cash and Issuer common stock.

3. Total amount includes (i) 292 unvested RSRs granted under the Long-Term Incentive Stock Plan ("LTISP") on 2/15/2022 that will vest on 2/15/2025; (ii) 274 unvested RSRs granted under the LTISP on 2/16/2023 that will vest on 2/16/2026; (iii) 641 unvested RSRs granted under the LTISP on 11/1/2023 that will vest on 11/1/2026; and (iv) 1,008 unvested RSRs granted under the LTISP on 2/14/2024 that will vest on 2/14/2027. Grants awarded pursuant to Rule 16b-3(d).

4. Each Restricted Performance Stock Right ("RPSR") represents a contingent right to receive an equivalent number of shares of Issuer common stock, or, at the Issuer's election, cash or a combination of cash and Issuer common stock. The RPSRs vest if the applicable performance metric is satisfied for the relevant measurement period. Grants awarded pursuant to Rule 16b-3(d).

5. Total amount includes (i) 640 unvested RPSRs granted under the LTISP on 2/15/2022 with a measurement period ending on 12/31/2024; (ii) 639 unvested RPSRs granted under the LTISP on 2/16/2023 with a measurement period ending on 12/31/2025; (iii) 1,495 unvested RPSRs granted under the LTISP on 11/1/2023 with a measurement period ending on 12/31/2025; and (iv) 2,352 unvested RPSRs granted under the LTISP on 2/14/2024 with a measurement period ending on 12/31/2026. Grants awarded pursuant to Rule 16b-3(d).

**Remarks:** 

/s/ Jennifer C. McGarey, Attorney-in-Fact

\*\* Signature of Reporting

Person

Date

07/09/2024

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

\* 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).

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

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 Number.

## POWER OF ATTORNEY

KNOW ALL MEN BY THESE PRESENTS, that the undersigned hereby constitutes and appoints each of Kathryn G. Simpson and Jennifer C. McGarey, signing singly, the undersigned's true and lawful attorney-in-fact to:

(1) execute for and on behalf of the undersigned, in the undersigned's capacity as officer of Northrop Grumman Corporation (the "Company"), Forms 3, 4, and 5 in accordance with Section 16(a) of the Securities Exchange Act of 1934 and the rules thereunder;

(2) do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete and execute any such form 3, 4, or 5 and timely file such form with the United States Securities and Exchange Commission and any stock exchange or similar authority; and

(3) take any other action of any type whatsoever in connection with the foregoing which, in the opinion of such attorney-in-fact, may be of benefit to, in the best interest of, or legally required by, the undersigned, it being understood that the documents executed by such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as such attorney-in-fact may approve in such attorney-in-fact's discretion.

The undersigned hereby grants to each such attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever requisite, necessary, or proper to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as the undersigned might or could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that such attorney-in-fact, or such attorney-in-fact's substitute or substitutes, shall lawfully do or cause to be done by virtue of this power of attorney and the rights and powers herein granted. The undersigned acknowledges that the foregoing attorneys-in-fact, in serving in such capacity at the request of the undersigned, are not assuming, nor is the Company assuming, any of the undersigned's responsibilities to comply with Section 16 of the Securities Exchange Act of 1934.

This Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Forms 3, 4, and 5 with respect to the undersigned's holdings of and transactions in securities issued by the Company, unless earlier revoked by the undersigned in a signed writing delivered to the foregoing attorneys-infact.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 5th day of June, 2024.

/s/ Benjamin R. Davies

Benjamin R. Davies