ESL INVESTMENTS, INC.

Form 4 April 27, 2015

# FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

Check this box if no longer

subject to Section 16. Form 4 or Form 5

obligations

may continue.

See Instruction

STATEMENT OF CHANGES IN 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

1(b).

(Last)

200

(Print or Type Responses)

1. Name and Address of Reporting Person \*

LAMPERT EDWARD S

(First)

1170 KANE CONCOURSE, SUITE

(Middle)

(Month/Day/Year)

04/23/2015

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

2. Issuer Name and Ticker or Trading

Symbol

AUTONATION, INC. [AN]

3. Date of Earliest Transaction

below)

Director

\_ Other (specify Officer (give title

\_X\_\_ 10% Owner

**OMB APPROVAL** 

3235-0287

January 31,

2005

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**OMB** 

Number:

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response...

Estimated average

burden hours per

6. Individual or Joint/Group Filing(Check Applicable Line)

Form filed by One Reporting Person X Form filed by More than One Reporting

5. Relationship of Reporting Person(s) to

(Check all applicable)

Person

Issuer

### **BAY HARBOR** ISLANDS, FL 33154

(City)	(State)	(Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned								
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. 4. Securities Acquired (A) Transactiomr Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)  (A) or			5. Amount of Securities Ownership Beneficially Form: Owned Direct (D) Following or Indirect Reported (I) Transaction(s) (Instr. 4) (Instr. 3 and 4)		7. Nature of Indirect Beneficial Ownership (Instr. 4)		
Common Stock, par value \$0.01 per share	04/23/2015		Code V	Amount 113,855	(D)	Price \$ 65.22 (1)	13,552,084	D (2) (3) (4) (5)		
Common Stock, par value \$0.01 per share	04/23/2015		S	94	D	\$ 65.22 (1)	4,460	I	See Footnotes (2) (3) (4) (5) (6)	
	04/23/2015		S	348,863	D		8,381,699	I		

Common Stock, par value \$0.01 per share					\$ 65.22 (1)			See Footnotes (2) (3) (4) (5) (7)
Common Stock, par value \$0.01 per share	04/24/2015	S	104,807	D	\$ 65.07 (8)	13,447,277	D (2) (3) (4) (5)	
Common Stock, par value \$0.01 per share	04/24/2015	S	36	D	\$ 65.07 (8)	4,424	I	See Footnotes (2) (3) (4) (5) (6)
Common Stock, par value \$0.01 per share	04/24/2015	S	72,335	D	\$ 65.07 (8)	8,309,364	I	See Footnotes (2) (3) (4) (5) (7)
Common Stock, par value \$0.01 per share	04/27/2015	S	20,819	D	\$ 64.41 (9)	13,426,458	D (2) (3) (4) (5)	
Common Stock, par value \$0.01 per share	04/27/2015	S	12	D	\$ 64.41 <u>(9)</u>	4,412	I	See Footnotes (2) (3) (4) (5) (6)
Common Stock, par value \$0.01 per share	04/27/2015	S	40,043	D	\$ 64.41 <u>(9)</u>	8,269,321	I	See Footnotes (2) (3) (4) (5) (7)

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

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.

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.	6. Date Exercisable and	7. Title and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	onNumber	Expiration Date	Amount of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/Year)	Underlying	Security	Secu

Bene Own Follo

Repo Trans (Instr

(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr.	8)		(A) or Disposed of (D) (Instr. 3,		Secur (Instr	ities . 3 and 4)	(Instr. 5)
			Code	V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

# **Reporting Owners**

Reporting Owner Name / Address	Relationships				
reporting Owner Funite / Funitess	Director	10% Owner	Officer	Other	
LAMPERT EDWARD S 1170 KANE CONCOURSE, SUITE 200 BAY HARBOR ISLANDS, FL 33154		X			
ESL PARTNERS, L.P. 1170 KANE CONCOURSE, SUITE 200, BAY HARBOR, FL 33154		X			
RBS PARTNERS, L.P. 1170 KANE CONCOURSE, SUITE 200, BAY HARBOR, FL 33154		X			
ESL INSTITUTIONAL PARTNERS, L.P. 1170 KANE CONCOURSE, SUITE 200, BAY HARBOR, FL 33154		X			
RBS INVESTMENT MANAGEMENT, L.L.C. 1170 KANE CONCOURSE, SUITE 200, BAY HARBOR, FL 33154		X			
ESL INVESTMENTS, INC. 1170 KANE CONCOURSE, SUITE 200, BAY HARBOR, FL 33154		X			

# **Signatures**

EDWARD S. LAMPERT, By: /s/ Edward S. Lampert					
**Signature of Reporting Person	Date				
ESL PARTNERS, L.P., By: RBS Partners, L.P., Its: General Partner, By: ESL Investments, Inc., Its: General Partner, By: /s/ Edward S. Lampert, Name: Edward S. Lampert, Title: Chief Executive Officer	04/27/2015				
**Signature of Reporting Person	Date				
RBS PARTNERS, L.P., By: ESL Investments, Inc., Its: General Partner, By: /s/ Edward S. Lampert, Name: Edward S. Lampert, Title: Chief Executive Officer	04/27/2015				

Reporting Owners 3

\*\*Signature of Reporting Person

Date

ESL INSTITUTIONAL PARTNERS, L.P., By: RBS Investment Management, L.L.C., Its: General Partner, By: ESL Investments, Inc., Its: Manager, By: /s/ Edward S. Lampert, Name: Edward S. Lampert, Title: Chief Executive Officer

04/27/2015

\*\*Signature of Reporting Person

Date

RBS INVESTMENT MANAGEMENT, L.L.C., By: ESL Investments, Inc., Its: Manager, By: /s/ Edward S. Lampert, Name: Edward S. Lampert, Title: Chief Executive Officer

04/27/2015

\*\*Signature of Reporting Person

Date

ESL INVESTMENTS, INC., By: /s/ Edward S. Lampert, Name: Edward S. Lampert, Title: Chief Executive Officer

04/27/2015

\*\*Signature of Reporting Person

Date

# **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).
- This price represents the approximate weighted average price per share of common stock of AutoNation, Inc. (the "Issuer"), par value \$0.01 per share (each, a "Share"), of sales that were executed at prices ranging from \$65.00 to \$65.80 per Share. The reporting persons undertake to provide, upon request by the Securities and Exchange Commission staff, the Issuer or a security holder of the Issuer, full information regarding the number of Shares sold at each price.
- This statement is jointly filed by and on behalf of each of Edward S. Lampert, ESL Partners, L.P. ("Partners"), RBS Partners, L.P. ("RBS"), ESL Institutional Partners, L.P. ("Institutional"), RBS Investment Management, L.L.C. ("RBSIM") and ESL Investments, Inc. ("ESL"). Mr. Lampert, Partners and Institutional are the direct beneficial owners of the securities covered by this statement.
  - RBS is the general partner of, and may be deemed to beneficially own securities owned by, Partners. RBSIM is the general partner of, and may be deemed to beneficially own securities owned by, Institutional. ESL is the general partner of RBS and the manager of RBSIM.
- (3) ESL may be deemed to beneficially own securities owned by RBS and RBSIM. Mr. Lampert is a limited partner of, and may be deemed to beneficially own certain securities owned by, RBS. Mr. Lampert is the Chairman, Chief Executive Officer and Director of, and may be deemed to beneficially own securities owned by, ESL.
- The reporting persons state that neither the filing of this statement nor anything herein shall be deemed an admission that such persons are, for purposes of Section 16 of the Securities Exchange Act of 1934, as amended (the "Exchange Act") or otherwise, the beneficial owners of any securities covered by this statement. The reporting persons disclaim beneficial ownership of the securities covered by this statement, except to the extent of the pecuniary interest of such persons in such securities.
- The reporting persons may be deemed to be a member of a group with respect to the Issuer or securities of the Issuer for purposes of Section 13(d) or 13(g) of the Exchange Act. The reporting persons declare that neither the filing of this statement nor anything herein shall be construed as an admission that such persons are, for the purposes of Section 13(d) or 13(g) of the Exchange Act or any other purpose, a member of a group with respect to the Issuer or securities of the Issuer.
- (6) Represents shares directly beneficially owned by Institutional.
- (7) Represents shares directly beneficially owned by Partners.
- This price represents the approximate weighted average price per Share of the Issuer, of sales that were executed at prices ranging from (8) \$65.00 to \$65.20 per Share. The reporting persons undertake to provide, upon request by the Securities and Exchange Commission staff, the Issuer or a security holder of the Issuer, full information regarding the number of Shares sold at each price.
- This price represents the approximate weighted average price per Share of the Issuer, of sales that were executed at prices ranging from \$64.01 to \$65.11 per Share. The reporting persons undertake to provide, upon request by the Securities and Exchange Commission staff, the Issuer or a security holder of the Issuer, full information regarding the number of Shares sold at each price

#### Remarks:

**Exhibit Index** 

Exhibit 99.1 - Joint Filer Information (filed herewith)

Exhibit 99.2 - Joint Filing Agreement (filed herewith)

Signatures 4

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.