

HAVERTY MICHAEL R
Form 4
December 09, 2011

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
HAVERTY MICHAEL R

(Last) (First) (Middle)

KANSAS CITY SOUTHERN, PO BOX 219335

(Street)

KANSAS CITY, MO 64121-9335

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

KANSAS CITY SOUTHERN [KSU]

3. Date of Earliest Transaction (Month/Day/Year)

12/08/2011

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
Executive Chairman

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 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. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount or Price | | |
| Common Stock | 11/30/2011 | | G | | 795 D \$ 0 | 622,691 ⁽¹⁾ | D |
| Common Stock | 12/05/2011 | | G | | 73 D \$ 0 | 622,618 | D |
| Common Stock | 12/08/2011 | | M | | 25,700 A \$ 12.55 | 648,318 | D |
| Common Stock | 12/08/2011 | | F | | 13,890 ₍₂₎ D \$ 66.955 | 634,428 | D |
| Common Stock | | | | | | 20,677.812 | I Held by 401(k) and P/S |

| | | | | |
|--------------|------------|---|--|-------------------------|
| Common Stock | 29,745.961 | I | | Plan Held by ESOP |
|--------------|------------|---|--|-------------------------|

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

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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 Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Security (Instr. 3 and 4) | Amount or Number of Shares | |
|---|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | |
| Employee Stock Option (Right to Buy) ⁽³⁾ | \$ 12.55 | | | | | 01/16/2003 | 01/15/2013 | Common Stock | 15,9 |
| LSAR ⁽³⁾ | \$ 12.55 | | | | | <u>(3)</u> | <u>(3)</u> | Common Stock | 15,9 |
| Employee Stock Option (Right to Buy) ⁽³⁾ | \$ 12.55 | 12/08/2011 | | M ⁽⁶⁾ | 25,700 | 01/16/2008 | 01/15/2013 | Common Stock | 25,7 |
| LSAR ⁽³⁾ | \$ 12.55 | 12/08/2011 | | J ⁽⁶⁾ | 25,700 | <u>(3)</u> | <u>(3)</u> | Common Stock | 25,7 |
| Employee Stock Option (Right to Buy) ⁽³⁾ | \$ 14.6 | | | | | 01/02/2005 | 01/01/2014 | Common Stock | 90,0 |
| LSAR ⁽³⁾ | \$ 14.6 | | | | | <u>(3)</u> | <u>(3)</u> | Common Stock | 90,0 |
| Employee Stock | \$ 14.53 | | | | | 02/09/2004 | 02/08/2014 | Common Stock | 13,6 |

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