

HORTON DONALD R
Form 4
December 03, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 *
HORTON DONALD R

2. Issuer Name and Ticker or Trading Symbol
HORTON D R INC /DE/ [DHI]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
1341 HORTON CIRCLE
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
11/30/2018

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

ARLINGTON, TX 76011

4. 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

(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. Transaction Code (Instr. 8) | 4. Securities Acquired 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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | | (A) or (D) Code V Amount Price | | | |
| Common Stock | 11/27/2018 | | G ⁽¹⁾ | V 3,717 D \$ 0 | 23,533,899 | D | |
| Common Stock | 11/30/2018 | | M | 2,518 ⁽²⁾ A \$ 0 ⁽³⁾ | 23,536,417 | D | |
| Common Stock | 11/30/2018 | | M | 3,156 ⁽⁴⁾ A \$ 0 ⁽³⁾ | 23,539,573 | D | |
| Common Stock | 11/30/2018 | | F ⁽⁵⁾ | 5,674 D \$ 37.22 | 23,533,899 | D | |

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

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(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 Securities (Instr. 3 and 4) | 8. Price or Value of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|---|
| Restricted Stock Unit | (3) | 11/30/2018 | | M | 2,518 (2) | (6) (6) | Common Stock | 2,518 |
| Restricted Stock Unit | (3) | 11/30/2018 | | M | 3,156 (4) | (7) (7) | Common Stock | 3,156 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|----------|-------|
| | Director | 10% Owner | Officer | Other |
| HORTON DONALD R 1341 HORTON CIRCLE ARLINGTON, TX 76011 | X | | Chairman | |

Signatures

/s/ Donald R. Horton
12/03/2018

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).
- (1) This transaction involved gifts of securities to the trusts of five individuals outside of Mr. Horton's household and is being voluntarily disclosed on this Form 4. Mr. Horton disclaims beneficial ownership of the shares gifted.
 - (2) Represents common stock acquired by the vesting of a portion of the 67,500 restricted stock units awarded March 7, 2018 to cover withholding tax obligations.
 - (3) Each restricted stock unit represents a contingent right to receive one share of DHI common stock upon vesting.

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- (4) Represents common stock acquired by the vesting of a portion of the 84,600 restricted stock units awarded November 26, 2018 to cover withholding tax obligations.
- (5) These shares were surrendered to issuer to cover withholding tax obligations of the 67,500 restricted stock units awarded March 7, 2018 and the 84,600 restricted stock units awarded November 26, 2018.
- (6) On March 7, 2018, the reporting person was granted 67,500 restricted stock units.
- (7) On November 26, 2018, the reporting person was granted 84,600 restricted stock units.

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

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