Edgar Filing: BRADLEY WILLIAM PATRICK III - Form 4

BRADLEY WILLIAM PATRICK III

Form 4 March 19, 2018

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

3235-0287

Expires:

January 31, 2005

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OMB APPROVAL

response...

if no longer subject to Section 16. Form 4 or Form 5

Check this box

obligations may continue. See Instruction

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)

(City)

(Print or Type Responses)

1. Name and Address of Reporting Person * **BRADLEY WILLIAM PATRICK** Ш

2. Issuer Name and Ticker or Trading Symbol

Issuer

(First)

VIRTUS INVESTMENT PARTNERS, INC. [VRTS]

(Check all applicable)

5. Relationship of Reporting Person(s) to

(Middle) 3. Date of Earliest Transaction

(Zip)

(Month/Day/Year) 03/15/2018

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

EVP, Fund Services

C/O VIRTUS INVESTMENT PARTNERS, 100 PEARL STREET

(Street)

(State)

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

6. Individual or Joint/Group Filing(Check

Applicable Line)

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

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

HARTFORD, CT 06103

		Table 1 - Non-Derivative Securities Acquired, Disposed of, of Deficically Owned							
1.Title of	2. Transaction Date	ransaction Date 2A. Deemed 3. 4. Securities		4. Securities	5. Amount of	6. Ownership	7. Nature of		
Security	(Month/Day/Year)	Execution Date, if	Transactio	onAcquired (A) or	Securities	Form: Direct	Indirect		
(Instr. 3)		any	Code	Disposed of (D)	Beneficially	(D) or	Beneficial		
		(Month/Day/Year)	(Instr. 8)	(Instr. 3, 4 and 5)	Owned	Indirect (I)	Ownership		
		•			Following	(Instr. 4)	(Instr. 4)		
				(4)	Reported				
				(A)	Transaction(s)				
			Code V	or Amount (D) Price	(Instr. 3 and 4)				
Common Stock	03/15/2018		A	798 <u>(1)</u> A \$ 0	12,222.59	D			
Common Stock	03/15/2018		A	766 (2) A \$ 0	12,988.59 (3)	D			

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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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 Exer	cisable and	7. Title	and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	orNumber	Expiration D	ate	Amount	of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Underly	ing	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securitie	es	(Instr. 5)	Bene
	Derivative				Securities			(Instr. 3	and 4)		Owne
	Security				Acquired						Follo
					(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
								Δ	mount		
						Date	Expiration	Title N	ı Iumber		
						Exercisable	Date	01			
				Code V	(A) (D)				hares		

Reporting Owners

Relationships Reporting Owner Name / Address

> Officer Director 10% Owner Other

BRADLEY WILLIAM PATRICK III C/O VIRTUS INVESTMENT PARTNERS 100 PEARL STREET HARTFORD, CT 06103

EVP, Fund Services

Signatures

/s/Mark S. Flynn, 03/19/2018 Attorney-in-Fact

**Signature of Reporting Person

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).
- These shares comprise an award of restricted stock units ("RSUs") granted to the reporting person pursuant to the Company's 2017 Long (1) Term Incentive Plan, subject to a performance condition which has been satisfied. Subject to acceleration in certain circumstances, the RSUs are scheduled to cliff vest on March 15, 2020 and will be settled for shares of common stock on a one-for-one basis upon vesting.
- These shares comprise an award of restricted stock units ("RSUs") granted to the reporting person pursuant to the Company's 2018 Long Term Incentive Plan. Subject to acceleration in certain circumstances, the RSUs are scheduled to cliff vest on March 15, 2021 and will be settled for shares of common stock on a one-for-one basis upon vesting.
- This number includes (i) 288.59 shares acquired in connection with the Issuer's Employee Stock Purchase Plan (ii) 1,812 RSUs that are (3) scheduled to cliff vest on February 22, 2019; (ii) 815 RSUs that are scheduled to cliff vest on March 15, 2019; (iv) 1,598 RSUs that are scheduled to cliff vest on March 15, 2020 and (v) 766 RSUs that are scheduled to cliff vest on March 15, 2021.

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.

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