Arlington Asset Investment Corp. Form 3 June 10, 2013 FORM 3

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

## **INITIAL STATEMENT OF 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

**OMB APPROVAL** OMB 3235-0104 Number: January 31, Expires: 2005 Estimated average burden hours per

0.5

response...

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

(Print or Type Responses)

1. Name and Address of Reporting Person <u>*</u> FAEDER DAVID W	2. Date of Event Requiring Statement Month/Day/Year)	<sup>g</sup> 3. Issuer Name <b>and</b> Ticker or Trading Symbol Arlington Asset Investment Corp. [AI]			
(Last) (First) (Middle)	06/06/2013	4. Relationship of Reporting Person(s) to Issuer	5. If Amendment, Date Original Filed(Month/Day/Year)		
C/O ARLINGTON ASSET INVESTMENT CORP., 1001		(Check all applicable)			
NINETEENTH STREET NORTH		XDirector10% Owner			

Officer

(give title below) (specify below)

Other

#### (Street)

## A PLINCTON Â VA Â 22200

AKLINGI	JN,A VAA	. 22209			Form filed by More than One Reporting Person
(City)	(State)	(Zip)	Table I - Non-Deriva	tive Securit	ies Beneficially Owned
1.Title of Secu (Instr. 4)	ırity		2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Reminder: Rep owned directly	· ·		ass of securities beneficially	SEC 1473 (7-02	2)
		•	l to the collection of I in this form are not		

required to respond unless the form displays a

currently valid OMB control number.

#### Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security	2. Date Exercisable and	3. Title and Amount of	4.	5.	6. Nature of Indirect
(Instr. 4)	Expiration Date	Securities Underlying	Conversion	Ownership	Beneficial Ownership
	(Month/Day/Year)	Derivative Security	or Exercise	Form of	(Instr. 5)
		(Instr. 4)	Price of	Derivative	
			Derivative	Security:	

## Edgar Filing: Arlington Asset Investment Corp. - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Restricted Stock Units (1)	06/06/2013	(2)	Class A Common Stock	2,905 <u>(3)</u>	\$ <u>(1)</u>	D	Â

# **Reporting Owners**

		Relationships			
Reporting Owner Name / Address	Director	10% Owner	Officer	Other	
FAEDER DAVID W C/O ARLINGTON ASSET INVESTMENT CORP. 1001 NINETEENTH STREET NORTH ARLINGTON, VA 22209	ÂX	Â	Â	Â	
Signatures					
/s/ D. Scott Parish, Attorney-in-Fact 06/10/2013					

\*\*Signature of Reporting Person

Date

## **Explanation of Responses:**

- \* 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).
- (1) Each restricted stock unit ("RSU") represents a contingent right to receive one share of Class A common stock of Arlington Asset Investment Corp. (the "Company").

Represents annual grant of RSUs pursuant to the Company's 2011 Long-Term Incentive Plan (the "2011 Plan") in connection with the reporting person's service as a non-employee director of the Company. The RSUs vest immediately on the award grant date. Vested RSUs

- (2) are converted into shares of Class A common stock on a one-for-one basis, with any fractional shares being settled in cash, upon the later of the reporting person's separation from service on the board of directors or the first anniversary of the grant date (the "Settlement Date"). If a change in control occurs before the Settlement Date, the settlement will occur on the control change date. The reporting person does not have voting rights with respect to, but receives dividend equivalent payments on, outstanding RSUs.
- (3) Represents 2,905 RSUs granted on June 6, 2013 pursuant to the 2011 Plan, which vested on June 6, 2013.

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.