AV Homes, Inc. Form 4 June 12, 2014

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

30(h) of the Investment Company Act of 1940

Check this box if no longer

subject to Section 16. Form 4 or

Form 5 obligations may continue. See Instruction

**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

1(b).

**OMB APPROVAL** 

OMB Number:

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Expires:

January 31, 2005

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response...

0.5

(Print or Type Responses)

(Last)

(City)

1. Name and Address of Reporting Person \* Einiger Roger

33 EAST 70TH STREET

(First)

(Middle)

(Zip)

Symbol

AV Homes, Inc. [AVHI]

(Month/Day/Year)

(Street)

(State)

2. Issuer Name and Ticker or Trading

3. Date of Earliest Transaction

06/10/2014

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

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

X\_ Director 10% Owner Other (specify Officer (give title below)

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ 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

NEW YORK, NY 10021

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3)

(Month/Day/Year)

4. Securities TransactionAcquired (A) or Code (Instr. 8)

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 (Instr. 4)

7. Nature of Indirect (D) or Indirect Beneficial Ownership

(Instr. 4)

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

Code V Amount (D) Price

(A)

or

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

4.

(Instr. 8)

1. Title of Derivative Conversion Security or Exercise (Instr. 3) Price of

3. Transaction Date 3A. Deemed (Month/Day/Year)

Execution Date, if (Month/Day/Year)

5. Number Transaction of Derivative Date Code Securities

Acquired

6. Date Exercisable and Expiration (Month/Day/Year)

7. Title and Amou Underlying Securi (Instr. 3 and 4)

1

#### Edgar Filing: AV Homes, Inc. - Form 4

Derivative (A) or
Security Disposed of
(D)
(Instr. 3, 4, and 5)

Code V (A) (D) Date Exercisable Expiration Date Title

Num of Shar

Amo

Restricted
Stock (1) 06/10/2014 A 2,256 06/10/2015(2) 06/10/2015(2) Stock,
Units

Common Stock,
\$1.00 par value

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Einiger Roger
33 EAST 70TH STREET X
NEW YORK, NY 10021

## **Signatures**

/s/ Dave Gomez, attorney-in-fact for Roger
Einiger 06/12/2014

\*\*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) The units convert to Common Stock of the issuer on a 1-for-1 basis.
- (2) The units granted to the Reporting Person vest in full on the earlier of June 10, 2015 or the day immediately preceding the 2015 annual meeting of stockholders, provided that the Reporting Person is a member of the Issuer's board of directors on such date.

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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