National American University Holdings, Inc.

Form 3

November 01, 2013

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement National American University Holdings, Inc. [NAUH] Buxton John (Month/Day/Year) 10/22/2013 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 5301 S. HIGHWAY 16 (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director \_X\_ Form filed by One Reporting \_X\_\_ Officer Other Person RAPID CITY, Â SDÂ 57701 (give title below) (specify below) Form filed by More than One Chief Information Officer Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) D Â Common Stock 3,210 Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly.

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

1. Title of Derivative Security (Instr. 4)	2. Date Exerci Expiration Da (Month/Day/Year)	Date Securities Unde		nderlying	4. Conversion or Exercise Price of	5. Ownership Form of Derivative	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
	Date Exercisable	Expiration Date	Title	Amount or Number of	Derivative Security	Security: Direct (D) or Indirect	(mail: 3)	

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				Shares		(I) (Instr. 5)	
Restricted Stock Units	(1)	(1)	Common Stock	25,000	\$ 0 (2)	D	Â
Stock Options	06/18/2011	04/20/2021	Common Stock	500	\$ 7.49	D	Â
Stock Options	06/18/2012	04/20/2021	Common Stock	500	\$ 7.49	D	Â
Stock Options	06/01/2013	08/06/2022	Common Stock	1,000	\$ 4.6	D	Â
Stock Options	06/01/2014	08/06/2022	Common Stock	1,000	\$ 4.6	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
1	Director 10% Owner		Officer	Other		
Buxton John 5301 S. HIGHWAY 16 RAPID CITY Â SDÂ 57701	Â	Â	Chief Information Officer	Â		

## **Signatures**

/s/ John Buxton	11/01/2013		
**Signature of	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) The restricted stock units vest in full upon the Issuer achieving planned EBIT through the fiscal year ending May 31, 2015.
- (2) Each restricted stock unit represents a contingent right to receive one share of the Issuer's common stock.

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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