TRI Pointe Homes, Inc.

Form 3

July 17, 2014

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION FORM 3 Washington, D.C. 20549

**OMB APPROVAL** 

**OMB** Number:

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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

(Print or Type Responses)

1. Name and Address of Reporting

Person \*

Krivanec Ken

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

07/07/2014

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

TRI Pointe Homes, Inc. [TPH]

(Check all applicable)

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O TRI POINTE HOMES. INC., 19520 JAMBOREE **ROAD. SUITE 200** 

(Street)

Director \_X\_\_ Officer

10% Owner

Other (give title below) (specify below) President of Quadrant Homes

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting Person

Form filed by More than One Reporting Person

IRVINE. CAÂ 92612

(City) (State) (Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security

(Instr. 4)

Beneficially Owned

2. Amount of Securities

(Instr. 4)

3. Ownership 4. Nature of Indirect Beneficial Ownership

Form: Direct (D) (Instr. 5)

or Indirect (I) (Instr. 5)

Â

Common Stock

20,782

SEC 1473 (7-02)

D

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

> Persons who respond to the collection of information contained 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

(Instr. 4)

2. Date Exercisable and **Expiration Date** 

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

4. Conversion or Exercise

5. Ownership Form of

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Price of Derivative Security:

(Month/Day/Year)

### Edgar Filing: TRI Pointe Homes, Inc. - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	(1)	02/14/2017	Common Stock	12,886	\$ 14.4	D	Â
Stock Option (Right to Buy)	(2)	02/09/2021	Common Stock	5,804	\$ 11.45	D	Â
Stock Option (Right to Buy)	(3)	02/08/2022	Common Stock	11,767	\$ 9.67	D	Â
Stock Option (Right to Buy)	(4)	02/13/2023	Common Stock	23,218	\$ 14.47	D	Â
Stock Option (Right to Buy)	(5)	02/12/2024	Common Stock	31,661	\$ 14.29	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
<b>, Fg</b>	Director	10% Owner	Officer	Other		
Krivanec Ken C/O TRI POINTE HOMES, INC. 19520 JAMBOREE ROAD, SUITE 200 IRVINE Â CAÂ 92612	Â	Â	President of Quadrant Homes	Â		

# **Signatures**

Michael D. Grubbs, attorney-in-fact 07/17/2014

\*\*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) Stock options vest ratably over four years.
- (2) Stock options vest ratably over four years.
- (3) Stock options vest ratably over four years.
- (4) Stock options vest ratably over four years.
- (5) Stock options vest ratably over four years.

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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