Hilltop Holdings Inc. Form 4

March 18, 2015

## FORM 4

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

Check this box if no longer subject to Section 16.

Form 4 or

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Form 5 obligations may continue. See Instruction 1(b).

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 \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading White Alan B Issuer Symbol Hilltop Holdings Inc. [HTH] (Check all applicable) (Middle) (Last) (First) 3. Date of Earliest Transaction (Month/Day/Year) \_X\_ Director 10% Owner X\_ Officer (give title Other (specify 200 CRESCENT COURT, SUITE 03/16/2015 below) 1330 PlainsCapital Corporation CEO (Street) 6. Individual or Joint/Group Filing(Check 4. If Amendment, Date Original Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person

#### DALLAS, TX 75201

(City)	(State)	(Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned									
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactio Code (Instr. 8)	4. Securities Acquired (A) owr Disposed of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
			Code V	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)	(Instr. 4)			
Common Stock	03/16/2015		S(1)	5,591	D	\$ 20.0033 (2)	331,798 (3)	D			
Common Stock	03/17/2015		S <u>(1)</u>	2,000	D	\$ 20.012 (4)	329,798 (3)	D			
Common Stock	03/18/2015		S <u>(1)</u>	11,002	D	\$ 20.0014 (6)	318,796 (3)	D			
Common Stock	03/16/2015		S(1)	16,771	D	\$ 20.0033 (2)	1,603,932 (5)	I	By Maedgen & White, Ltd.		

**OMB APPROVAL** 

3235-0287

January 31,

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Person

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### Edgar Filing: Hilltop Holdings Inc. - Form 4

Common Stock	03/17/2015	S <u>(1)</u>	6,000	D	\$ 20.012 (4)	1,597,932 (5)	I	By Maedgen & White, Ltd.
Common Stock	03/18/2015	S <u>(1)</u>	3,667	D	\$ 20.0014 <u>(6)</u>	1,594,265 (5)	I	By Maedgen & White, Ltd.
Common Stock						10,238 (5) (7)	I	By Wife
Common Stock						23,806 (5)	I	By Double E Investments
Common Stock						12,883 (5)	I	By EAW White Family Partnership, Ltd.
Common Stock						8,045 (5)	I	By Maedgen, White and Maedgen

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

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SEC 1474 (9-02)

## 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 Exerc	cisable and	7. Titl	le and	8. Price of	1
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionNumber		Expiration Date		Amou	ınt of	Derivative	Į
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security	
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8) Derivative		e			ities	(Instr. 5)	Ī
	Derivative				Securities		(				-
Security					Acquired						1
					(A) or Disposed						į
											,
					of (D) (Instr. 3, 4, and 5)						
									Amount		
									or		
						Date	Expiration Date	Title 1	Number		
						Exercisable			of		
				Code V	(A) (D)				Shares		
				Code v	(A) (D)				Shares		

9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

White Alan B

200 CRESCENT COURT, SUITE 1330 X PlainsCapital Corporation CEO

DALLAS, TX 75201

## **Signatures**

/s/ Alan B. 03/18/2015

\*\*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 sales reported were effected pursuant to a Rule 10b5-1 trading plan adopted on August 29, 2014.
- The price reported is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$20.00 to \$20.03 per share, inclusive. The reporting person undertakes to provide to Hilltop Holdings Inc., any security holder of Hilltop Holdings Inc. or
- the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within such range.
- (3) Includes 95,844 shares of common stock held in an individual retirement account for the benefit of the reporting person.
- The price reported is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$20.00 to \$20.04 per share, inclusive. The reporting person undertakes to provide to Hilltop Holdings Inc., any security holder of Hilltop Holdings Inc. or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within such range.
- The reporting person disclaims beneficial ownership of these shares, except to the extent of his pecuniary interest therein. The reporting person states that neither the filing of this statement nor anything herein shall be deemed an admission that the reporting person is, for purposes of Section 16 of the Exchange Act or otherwise, the beneficial owner of these shares.
  - The price reported is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$20.00 to \$20.01 per share, inclusive. The reporting person undertakes to provide to Hilltop Holdings Inc., any security holder of Hilltop Holdings Inc. or
- the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within such range.
- (7) Includes 453 shares of common stock held in an individual retirement account.

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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