

Caldwell William J.
Form 4
June 04, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN 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 *
Caldwell William J.

2. Issuer Name and Ticker or Trading Symbol
HORACE MANN EDUCATORS CORP /DE/ [HMN]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
05/31/2018

____ Director _____ 10% Owner
____ Officer (give title below) _____ Other (specify below)
Executive Vice President

1 HORACE MANN PLAZA

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

SPRINGFIELD, IL 62715

(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. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or 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 (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount or Price | | |
| Common Stock | 05/31/2018 | | M | | 797 A \$ 30.24 | (1) | D |
| Common Stock | 05/31/2018 | | M | | 5,828 A \$ 28.88 | (2) | D |
| Common Stock | 05/31/2018 | | F | | 4,352 (3) D \$ 44.2 | (4) | D |
| Common Stock | 05/31/2018 | | M | | 2,174 A \$ 32.35 | (5) | D |
| Common Stock | 05/31/2018 | | M | | 10,490 A \$ 31.01 | (6) | D |

Edgar Filing: Caldwell William J. - Form 4

| | | | | | | | | |
|-----------------|------------|--|---|-------|---|---------------------------|--------------------------|---|
| Common Stock | 05/31/2018 | | S | 9,692 | D | \$ 44.32 <u>(7)</u> | 21,692.514 <u>(8)</u> | 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.

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 Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title Amount or Number of Shares |
| Employee Stock Option (right to buy) | \$ 30.24 | 05/31/2018 | | M | 797 | 12/11/2017 12/11/2020 | Common Stock 797 |
| Employee Stock Option (right to buy) | \$ 28.88 | 05/31/2018 | | M | 5,828 | 03/05/2018 03/05/2024 | Common Stock 5,828 |
| Employee Stock Option (right to buy) | \$ 32.35 | 05/31/2018 | | M | 2,174 | 03/04/2018 03/04/2025 | Common Stock 2,174 |
| Employee Stock Option (right to buy) | \$ 31.01 | 05/31/2018 | | M | 10,490 | 03/09/2018 03/09/2026 | Common Stock 10,490 |

Reporting Owners

| | |
|--------------------------------|---------------|
| Reporting Owner Name / Address | Relationships |
|--------------------------------|---------------|

Reporting Owners

Edgar Filing: Caldwell William J. - Form 4

Director 10% Owner Officer Other

Caldwell William J.
1 HORACE MANN PLAZA
SPRINGFIELD, IL 62715

Executive Vice President

Signatures

Linea K. Michael, Attorney in Fact for William J.
Caldwell

06/04/2018

__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) Represents 580.514 vested restricted stock units and 16,664 shares of Common Stock.
- (2) Represents 580.514 vested restricted stock units and 22,492 shares of Common Stock.
- (3) Disposition of pre-owned shares to satisfy exercise pursuant to the 2010 Comprehensive Executive Compensation Plan as amended and restated.
- (4) Represents 580.514 vested restricted stock units and 18,140 shares of Common Stock.
- (5) Represents 580.514 vested restricted stock units and 20,314 shares of Common Stock.
- (6) Represents 580.514 vested restricted stock units and 30,804 shares of Common Stock.
- (7) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$44.10 to \$44.80.
- (8) Represents 580.514 vested restricted stock units and 21,112 shares of 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.