Edgar Filing: LUNDY RUSS II - Form 4

| LUNDY RU | ISS II | | | | | | | | | | |
|---|--|---|-----------|--|--------------------|--|---|---|------------------|----------------|--|
| Form 4 | | | | | | | | | | | |
| August 20, 2 | 2018 | | | | | | | | | | |
| FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION | | | | | | | | | OMB APPROVAL | | |
| | UNITED | STATES | | RITIES A shington, | | | NGE C | OMMISSION | OMB Number: | 3235-0287 | |
| Check th | | | | | | | | | Expires: | January 31, | |
| if no long subject to | | MENT O | F CHAN | GES IN BENEFICIAL OWN | | | | NERSHIP OF | Estimated a | 2005 Verage | |
| Section 16. | | | | SECURITIES | | | | | burden hours per | | |
| Form 4 o | | | | | | | | | response | . 0.5 | |
| Form 5 | m o * | | | | | | • | e Act of 1934, | | | |
| obligations may continue. See InstructionSection 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 1(b). | | | | | | | | | | | |
| (Print or Type I | Responses) | | | | | | | | | | |
| LUNDY RUSS II Symbol | | | Symbol | er Name and Ticker or Trading E STORES INC [SSI] | | | | 5. Relationship of Reporting Person(s) to Issuer | | | |
| | | | | | | | (Check | k all applicable) | | | |
| (Last) | (First) | (Middle) | | f Earliest Transaction | | | | Director 10% Owner | | | |
| 2425 WEST LOOP SOUTH 08/17/20 | | | | • | | | | Drector 10% Owner XOfficer (give title Other (specify below) EVP, Chief Stores Officer | | | |
| | (Street) | | 4. If Ame | endment, Date Original | | | | 6. Individual or Joint/Group Filing(Check | | | |
| | | | | - | | | | Applicable Line) | | | |
| HOUSTON | , TX 77027 | | | | | | | _X_ Form filed by O Form filed by M Person | | | |
| (City) | (State) | (Zip) | Tab | la I Nan F | Nominativ a | Same | itian A am | wined Disposed of | or Donoficial | Ournad | |
| | · · · - | | | | | | _ | uired, Disposed of, | | - | |
| 1.Title of Security (Instr. 3) | 2. Transaction Dat (Month/Day/Year) | Date, if Transactior(A) or Disposed of (D) Code (Instr. 3, 4 and 5) ay/Year) (Instr. 8) | | | d of (D) | 5. Amount of Securities Beneficially Owned Following Reported | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | | | |
| | | | | Code V | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | | |
| Common Stock | 08/17/2018 | | | А | 148 (1) | А | \$ 2.0803 | 74,024 | D | | |
| Common Stock | | | | | | | | 843 (2) | Ι | By Spouse | |

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

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 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. Transactio Code (Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | ate | Amou Unde Secur | rlying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr |
|---|---|---|---|--|---|---------------------|--------------------|-----------------------|--|---|--|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | |
|--|---------------|-----------|---------------------------|-------|--|--|--|
| 1 | Director | 10% Owner | Officer | Other | | | |
| LUNDY RUSS II 2425 WEST LOOP SOUTH HOUSTON, TX 77027 | | | EVP, Chief Stores Officer | | | | |
| Signatures | | | | | | | |
| /s/ R.E. Stasyszen, Attorney in Lundy II | 08/20/2018 | | | | | | |
| <u>**</u> Signature of Reporting | Person | | Date | | | | |
| Evolution of Po | onon | 0001 | | | | | |

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) These shares were acquired pursuant to the Stage Stores, Inc. Nonqualified Deferred Compensation Plan.
- (2) The reporting person disclaims beneficial ownership of these securities, and this report shall not be deemed an admission that the reporting person is the beneficial owner of the securities for purposes of Section 16 or for any other purpose.

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.