

AYLWARD GEORGE R

Form 4

March 20, 2019

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
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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
AYLWARD GEORGE R

2. Issuer Name **and** Ticker or Trading
Symbol

VIRTUS INVESTMENT
PARTNERS, INC. [VRTS]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

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

03/19/2019

☒ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)

Director, CEO and President

C/O VIRTUS INVESTMENT
PARTNERS, ONE FINANCIAL
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

HARTFORD, CT 06103

(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)
Common Stock	03/19/2019		M	Amount (1) 10,000 (A) \$ 9.4 (D) (2)	222,539.52	D	
Common Stock	03/19/2019		M	Amount (1) 8,120 (A) \$ 9.4	230,659.52	D	
Common Stock	03/19/2019		F	Amount (3) 4,021 (D) \$ 102.29 (4)	226,638.52	D	

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

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information contained in this form are not**

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(9-02)

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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. 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
Stock Options	\$ 9.4	03/19/2019		M	10,000	04/20/2012 04/20/2019	Common Stock 10,000
Stock Options	\$ 9.4	03/19/2019		M	8,120	04/20/2012 04/20/2019	Common Stock 8,120

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
AYLWARD GEORGE R C/O VIRTUS INVESTMENT PARTNERS ONE FINANCIAL PLAZA HARTFORD, CT 06103	X Director, CEO and President

Signatures

/s/ Mark S. Flynn,
Attorney-in-Fact 03/20/2019

__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) Acquisition of common stock upon exercise of expiring employee stock options.

(2) The aggregate option exercise price and associated payroll taxes were paid in cash.

(3) The aggregate option exercise price and associated payroll taxes with respect to the exercise of 8,120 options were paid by delivery of previously owned shares in an exempt disposition to the Issuer.

This number includes (i) 1,442.104 shares acquired in connection with the Issuer's Employee Stock Purchase Plan (ii) 25,109 RSUs that are scheduled to cliff vest on March 15, 2020 (iii) 21,804 RSUs that are scheduled to cliff vest on March 15, 2021 and (iv) 4,563 RSUs that are scheduled to cliff vest on March 15, 2022.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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