

AYLWARD GEORGE R

Form 4

October 30, 2018

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)
C/O VIRTUS INVESTMENT
PARTNERS, 100 PEARL STREET

3. Date of Earliest Transaction
(Month/Day/Year)
10/29/2018

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
Director, CEO and President

(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)
			Code	V	Amount	(A) or (D) Price			
Common Stock	10/29/2018		M		5,000 <u>(1)</u>	A 9.4 <u>(2)</u>	\$ 194,589.52 <u>(3)</u>	D	
Common Stock							70.062	I	By 401k

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)	8. D S (I
				Code	V	(A)	(D)	
Stock Options	\$ 9.4	10/29/2018		M	5,000	04/20/2012 04/20/2019	Common Stock	5,000

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
AYLWARD GEORGE R C/O VIRTUS INVESTMENT PARTNERS 100 PEARL STREET HARTFORD, CT 06103	X Director, CEO and President

Signatures

/s/ Mark S. Flynn,
Attorney-in-Fact
10/30/2018

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

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

This number includes (i) 1,442.104 shares acquired in connection with the Issuer's Employee Stock Purchase Plan; (ii) 4,531 RSUs that
(3) are scheduled to cliff vest on February 22, 2019; (iii) 14,686 RSUs that are scheduled to cliff vest on March 15, 2019; (iv) 20,547 RSUs
that are scheduled to cliff vest on March 15, 2020 and (v) 8,621 RSUs that are scheduled to cliff vest on March 15, 2021.

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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