## Edgar Filing: Williams Thomas A. - Form 4

| Williams The   | omas A.                |                  |  |                                       |             |         |                |  |                           |                         |  |  |
|--|------------------------|------------------|--|---------------------------------------|-------------|---------|----------------|--|---------------------------|-------------------------|--|--|
| Form 4   |                        |                  |  |                                       |             |         |                |  |                           |                         |  |  |
| May 02, 201  | 3                      |                  |  |                                       |             |         |                |  |                           |                         |  |  |
| FORM 4 LINITED STATES SECURITIES AND EXCHANCE COMMISSION                       |                        |                  |  |                                       |             |         |                |  | OMB APPROVAL              |                         |  |  |
| UNITED STATES SECURITIES AND EXCHANGE COMMISSION<br>Washington, D.C. 20549     |                        |                  |  |                                       |             |         | OMB<br>Number: | 3235-0287  |                           |                         |  |  |
| Check thi  |                        |                  |  |                                       |             |         |                |  | Expires:                  | January 31,             |  |  |
| if no long<br>subject to   |                        | ENT OF           | CHAN   | GES IN I                              | BENEFI      | CIAI    | OW             | NERSHIP OF                                       |                           | 2005                    |  |  |
|  | Section 16. SECURITIES |                  |  |                                       |             |         |                |  | Estimated a<br>burden hou |                         |  |  |
| Form 4 or  | r                      |                  |  |                                       |             |         |                |  | response 0.5              |                         |  |  |
| Form 5<br>obligation   | 10                     |                  |  |                                       |             |         | -              | e Act of 1934,                                   |                           |                         |  |  |
| may cont   |                        |                  |  | •                                     | •           |         |                | f 1935 or Section                                | n                         |                         |  |  |
| See Instru   | iction                 | 30(h) o          | of the Inv   | vestment                              | Company     | Act     | of 194         | 10   |                           |                         |  |  |
| 1(b).  |                        |                  |  |                                       |             |         |                |  |                           |                         |  |  |
| (Print or Type F   | Responses)             |                  |  |                                       |             |         |                |  |                           |                         |  |  |
| 1. Name and Address of Reporting Person *2. Issuer NamWilliams Thomas A.Symbol |                        |                  |  | Name and                              | Ticker or T | Trading | 5              | 5. Relationship of Reporting Person(s) to Issuer |                           |                         |  |  |
|  |                        |                  | -  | NGER GI                               | ROUP IN     | C. [H   | IRG]           |  |                           | <b>`</b>                |  |  |
| (Last)   | (First) (N             | liddle)          | 3 Date of  | Earliest Tra                          | ansaction   |         |                | (Chec  | k all applicable          | ;)                      |  |  |
|  |                        | · · ·            |  | Day/Year)                             |             |         |                | Director 10% Owner                               |                           |                         |  |  |
| C/O HARBI  | NGER GROUP             |                  | 04/30/20   |                                       |             |         |                | $X_ Officer (give$                               | · • •                     |                         |  |  |
| INC., 450 P.   | ARK AVENUE,            | 30TH             |  |                                       |             |         |                | below)<br>E                                      | below)<br>EVP & CFO       |                         |  |  |
| FLOOR  |                        |                  |  |                                       |             |         |                |  |                           |                         |  |  |
|  |                        |                  |  | ndment, Date Original<br>th/Day/Year) |             |         |                | 6. Individual or Joint/Group Filing(Check        |                           |                         |  |  |
|  |                        |                  |  |                                       |             |         |                | Applicable Line)                                 |                           |                         |  |  |
|  |                        |                  |  |                                       |             |         |                | _X_ Form filed by C<br>Form filed by M           |                           |                         |  |  |
| NEW YORI   | K, NY 10022            |                  |  |                                       |             |         |                | Person   |                           | porting                 |  |  |
| (City)   | (State)                | (Zip)            | Table  | e I - Non-D                           | erivative S | ecurit  | ies Acq        | uired, Disposed of                               | f, or Beneficial          | ly Owned                |  |  |
| 1.Title of   | 2. Transaction Date    | 2A. Deem         | ed   | 3.                                    |             |         |                | 5. Amount of                                     | 6. Ownership              | 7. Nature of            |  |  |
| Security   | (Month/Day/Year)       | Execution        | , , , , , , , , , , , , , , , , , , ,                  |                                       |             |         |                | Securities                                       | Form: Direct              | Indirect                |  |  |
| (Instr. 3)   |                        | any<br>(Month/D: | Code (D)<br>n/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) |                                       |             |         | 5)             | Beneficially<br>Owned                            |                           | Beneficial<br>Ownership |  |  |
|  |                        | (infonting Di    | uj, i cui)   | (Insu: 0)                             | (111501-5), | i una c | ,              | Following  | (Instr. 4)                | (Instr. 4)              |  |  |
|  |                        |                  |  |                                       |             | (A)     |                | Reported   |                           |                         |  |  |
|  |                        |                  |  |                                       |             | or      |                | Transaction(s) (Instr. 3 and 4)                  |                           |                         |  |  |
| ~  |                        |                  |  | Code V                                | Amount      | (D)     | Price          | (msu: 5 and 4)                                   |                           |                         |  |  |
| Common<br>Stock  | 04/30/2013             |                  |  | S <u>(1)</u>                          | 32,093      | D       | \$9            | 205,866  | 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.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title<br>Derivat<br>Security<br>(Instr. 3 | ive Conversion<br>or Exercise | · · · · · | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transact<br>Code<br>(Instr. 8) | Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3, | 3                   | Date               | Amount of |  | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secu<br>Bene<br>Owne<br>Follo<br>Repo<br>Trans<br>(Instr |
|--|-------------------------------|-----------|---|--------------------------------------|--|---------------------|--------------------|-----------|--|---|--|
|  |                               |           |   | Code V                               | 4, and 5)  | Date<br>Exercisable | Expiration<br>Date | Title     | Amount<br>or<br>Number<br>of<br>Shares |   |  |

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## **Reporting Owners**

| Reporting Owner Name / Address  |           | Relationships |         |           |  |  |  |  |  |
|---|-----------|---------------|---------|-----------|--|--|--|--|--|
| informing o which i wh  | Director  | 10% Owner     | Officer | Other     |  |  |  |  |  |
| Williams Thomas A.<br>C/O HARBINGER GROUP INC.<br>450 PARK AVENUE, 30TH FLOOR<br>NEW YORK, NY 10022 |           |               |         | EVP & CFO |  |  |  |  |  |
| Signatures  |           |               |         |           |  |  |  |  |  |
| /s/ Thomas A.<br>Williams   | 05/02/201 | 3             |         |           |  |  |  |  |  |
| **Signature of Reporting<br>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 in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan entered into by Mr. Thomas A. Williams.

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.