SEC Form 4

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

OMB APPROVAL
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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934
or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person [*] Kardis Phillip John II						2. Issuer Name and Ticker or Trading Symbol <u>CHIMERA INVESTMENT CORP</u> [CIM]									5. Relationship of Reporting Person(s) to la (Check all applicable) Director 10			s) to Issuer 10% Ov	vner	
(Last) (First) (Middle)						3. Date of Earliest Transaction (Month/Day/Year) 02/16/2020								X	Officer (g below)		Other (specify below) egal Officer		pecify	
C/O CHIMERA INVESTMENT CORPORATION																				
520 MADISON AVENUE, 32ND FLOOR					4. If Amendment, Date of Original Filed (Month/Day/Year)									6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person						
(Street)														^	Form filed by More than One Reporting Person					
NEW YORK NY 10022																a by more		io rioportini	g i 0.001	
(City)	(State)	(Zij	p)																	
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																				
Date					. Transaction Vate 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 au				5. Amount of Securities Beneficially Owned Following Reported Transaction(s)		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	(Instr. 3 an				(1150.4)		
Common Stock 02/1						6/2020			F		30,922(1)		D	\$22.5	183,	514		D		
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)	Derivative Conversion Date Execution Date			ate,	Code (Instr.		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercis Expiration Date (Month/Day/Yes		e Securi ear) Deriva (Instr. :		7. Title and Amount of Securities Underlying Derivative Security Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Numbe derivative Securities Beneficia Owned Following Reported Transacti (Instr. 4)	e i s i ily i g i	Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	de V (A) (D)				Expiration Date Title			Number of Shares								

Explanation of Responses:

1. Shares reported were withheld for payment of taxes associated with the vesting of prior grants of restricted share units ("RSUs"). Each RSU has the economic equivalent of one share of Chimera common stock.

<u>/s/ Phillip J. Kardis II</u>

** Signature of Reporting Person

<u>02/19/2020</u>

Date

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

 * 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).

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

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 Number.