SEC Form 4

## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

VNERSHIP

OMB APPROVAL
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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

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* COLLIGAN ROBERT S						2. Issuer Name and Ticker or Trading Symbol <u>CHIMERA INVESTMENT CORP</u> [ CIM ]							5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner				
(Last) C/O: CHIMEF	Last) (First) (Middle) D/O: CHIMERA INVESTMENT CORPORATION				3. Date of Earliest Transaction (Month/Day/Year) 02/16/2021							×	Officer (g below)		Other (specify below) ncial Officer		
520 MADISON AVENUE, 32ND FLOOR					4. If Amendment, Date of Original Filed (Month/Day/Year)							6. Indiv X	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person				
(Street) <u>NEW YORK NY 10022</u> (City) (State) (Zip)												Form file	d by More	than One Report	ng Person		
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																	
1. Title of Security (Instr. 3) 2. Trans Date (Month				saction /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 ar			) or 4 and 5)	5. Amount Securities Beneficial Following	ly Owned Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership		
							Code	v	Amount		(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)			(Instr. 4)	
Common Stock 02/1				6/2021		A <sup>(1)</sup>		28,296 <sup>(2)</sup>		Α	\$ <mark>0</mark>	311,247 <sup>(3)</sup>		D			
Common Stock 02/1					6/2021		F		46,102 <sup>(4)</sup> D \$		\$11.94	265	,145	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)	ivative Conversion Date Execution Date,		ate,	4. Transaction Code (Instr. 3)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	Expiration Date (Month/Day/Year) De (Ir			Sec Deri	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5) 9. Number derivative Securites Beneficial Owned Following Reported Transactit		e Ownership s Form: Ily Direct (D) or Indirect g (I) (Instr. 4	Beneficial Ownership (Instr. 4)		

Explanation of Responses:

1. Represents shares of Chimera common stock underlying performance share units ("PSUs"), and accrued DERs, that vested on February 16, 2021.

Code

v

(A)

2. Each PSU has the economic equivalent of one share of Chimera common stock.

3. Dividend equivalent rights ("DERs") issued on PSUs and restricted stock units ("RSUs") are included in the reporting person's common stock holding balance. Each DER is the economic equivalent of one share of Chimera common stock.

Date

Exercisable

(D)

Expiration Date

Title

4. Shares reported were withheld for payment of taxes associated with the vesting of prior grants of RSUs and PSUs.

## /s/ Robert Colligan

\*\* Signature of Reporting Person

Amount

or Number

of Shares

02/18/2021

Date

(Instr. 4)

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

 $^{\star}$  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.