

HORTON D R INC /DE/
Form 3
November 15, 2013

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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

(Print or Type Responses)

1. Name and Address of Reporting Person *

Â Auld David V

(Last) (First) (Middle)

301 COMMERCE
STREET,Â SUITE 500

(Street)

FORT WORTH,Â TXÂ 76102

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

11/07/2013

3. Issuer Name **and** Ticker or Trading Symbol
HORTON D R INC /DE/ [DHI]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

5. 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

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities Beneficially Owned
(Instr. 4)

3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership
(Instr. 5)

No securities beneficially owned. ⁽¹⁾

0

D Â

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and Expiration Date
(Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	Â (2)	04/29/2014	Common Stock	25,767	\$ 21.6	D	Â
Stock Option (right to buy)	Â (3)	05/02/2016	Common Stock	30,000	\$ 29.44	D	Â
Stock Option (right to buy)	Â (4)	02/11/2018	Common Stock	120,000	\$ 14.5	D	Â
Stock Option (right to buy)	Â (5)	02/09/2019	Common Stock	84,000	\$ 9.03	D	Â
Stock Option (right to buy)	Â (6)	09/02/2021	Common Stock	96,000	\$ 9.97	D	Â
Stock Option (right to buy)	Â (7)	03/05/2023	Common Stock	60,000	\$ 23.8	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Auld David V 301 COMMERCE STREET SUITE 500 FORT WORTH, TX 76102	Â	Â	Â EVP and COO	Â

Signatures

/s/ Thomas B. Montano,
Attorney-in-Fact

11/15/2013

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, see Instruction 5(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) David V. Auld's Power of Attorney is submitted with this Form 3.

(2) The stock option grant was granted April 29, 2004, has a ten-year term and vests as to 10% of the grant amount on the first nine anniversary dates of April 29 and vests as to the remaining 10%, 9.75 years after the option grant date of April 29, 2004. Accordingly, on April 29, 2005, the initial 10% of the 20,000 options granted vested. This stock option award was affected by a 4 for 3 stock split (effected as a 33 1/3% stock dividend).

(3) The stock option grant was granted May 2, 2006, has a ten-year term and vests as to 10% of the grant amount on the first nine anniversary dates of May 2 and vests as to the remaining 10%, 9.75 years after the option grant date of May 2, 2006. Accordingly, on May 2, 2007, the initial 10% of the 30,000 options granted vested.

(4) The stock option grant was granted February 11, 2008, has a ten-year term and vests as to 10% of the grant amount on the first nine anniversary dates of February 11 and vests as to the remaining 10%, 9.75 years after the option grant date of February 11, 2008. Accordingly, on February 11, 2009, the initial 10% of the 120,000 options granted vested.

(5) The stock option grant was granted February 9, 2009, has a ten-year term and vests as to 10% of the grant amount on the first nine anniversary dates of February 9 and vests as to the remaining 10%, 9.75 years after the option grant date of February 9, 2009.

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Accordingly, on February 9, 2010, the initial 10% of the 120,000 options granted vested.

- (6) The stock option grant was granted September 2, 2011, has a ten-year term and vests as to 20% of the option shares on the first five anniversary dates of September 2. Accordingly, on September 2, 2012, the initial 20% of the 120,000 options granted vested.
- (7) The stock option grant was granted March 5, 2013, has a ten-year term and vests as to 20% of the option shares on the first five anniversary dates of March 5. Accordingly, on March 5, 2014, the initial 20% of the 60,000 options granted will vest.

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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