PNM RESOURCES INC

Form 4 May 18, 2016

## FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5

Check this box

obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* MULLARKEY MAUREEN T

2. Issuer Name and Ticker or Trading Symbol

PNM RESOURCES INC [PNM]

5. Relationship of Reporting Person(s) to

(Check all applicable)

Issuer

(Last)

(First)

(Street)

(Middle)

3. Date of Earliest Transaction

(Month/Day/Year) 05/17/2016

Director 10% Owner Officer (give title Other (specify

925 DARTMOUTH DRIVE

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check Applicable Line)

Filed(Month/Day/Year)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

below)

RENO, NV 89509

(City) (State) (Zip) 1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if

4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5) 5. Amount of 6. Ownership 7. Nature of Securities Form: Direct Indirect Beneficially (D) or Beneficial Indirect (I) Owned Ownership Following (Instr. 4) (Instr. 4)

Reported (A) Transaction(s) or (Instr. 3 and 4)

Common Stock

(Instr. 3)

Code V Amount (D) Price

> 2,496 D

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

(Month/Day/Year)

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)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)

#### Edgar Filing: PNM RESOURCES INC - Form 4

2.	3. Transaction Date	3A. Deemed	4.	5. Number	6. Date Exer	cisable and	7. Title and	Amount of	8. Pric
Conversion	(Month/Day/Year)	Execution Date, if	Transaction Derivative		Expiration Date		Underlying Securities		Deriv
or Exercise		any	Code Securities		(Month/Day/Year)		(Instr. 3 and 4)		Secur
Price of		(Month/Day/Year)	(Instr. 8)	Acquired					(Instr.
Derivative				(A) or					
Security				Disposed of					
				(D)					
				(Instr. 3, 4,					
				and 5)					
			Code V	(A) (D)	Data	Expiration	Title	Amount	
			Code v	(A) (D)			THE		
					Exercisable	Date			
								Snares	
					(2)	(2)	Common		
<u>(1)</u>	05/17/2016		Α	2,339	(2)	(2)		2,339	\$
	Conversion or Exercise Price of Derivative	Conversion or Exercise Price of Derivative Security  (Month/Day/Year)	Conversion or Exercise Execution Date, if or Exercise any (Month/Day/Year)  Price of (Month/Day/Year)  Derivative Security	Conversion (Month/Day/Year) Execution Date, if or Exercise any Code Price of (Month/Day/Year) (Instr. 8) Derivative Security Code V	Conversion (Month/Day/Year) Execution Date, if or Exercise Price of Price of Derivative Security Execution Date, if any Code Securities (Month/Day/Year) (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)  Code V (A) (D)	Conversion or Exercise any Code Securities (Month/Day/Year) Expiration Date, if any Code Securities (Month/Day/Year) (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)  Code V (A) (D) Date Exercisable	Conversion (Month/Day/Year) Execution Date, if or Exercise any Code Securities (Month/Day/Year)  Price of (Month/Day/Year) (Instr. 8) Acquired (A) or Security  Code Securities (Month/Day/Year)  (A) or Disposed of (D) (Instr. 3, 4, and 5)  Code V (A) (D) Date Expiration Exercisable Date	Conversion or Exercise Price of Price of Derivative Security  Execution Date, if any Code Securities (Month/Day/Year)  (Month/Day/Year) (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)  Code V (A) (D) Date Expiration Title Exercisable Date  Common	Conversion or Exercise Price of Derivative Security  Code Securities (Month/Day/Year)  (Month/Day/Year)  (Month/Day/Year)  Execution Date (Code Securities (Month/Day/Year)  (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)  Code V (A) (D) Date Expiration Title Amount Exercisable Date  (A) Or Disposed of (D) (Instr. 3, 4, and 5)  Code V (A) (D) Date Expiration Title Or Number of Shares  (A) Or Disposed of (D) (Instr. 3, 4, and 5)  Code V (A) (D) Date Expiration Title Or Number of Shares

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

MULLARKEY MAUREEN T 925 DARTMOUTH DRIVE RENO, NV 89509

# **Signatures**

/s/ Laurie S. Monfiletto, POA for Maureen T.
Mullarkey

05/18/2016

\*\*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) Each restricted stock right represents a contingent right to receive one share of PNM Resources, Inc. common stock.
- The restricted stock units vest in three equal annual installments beginning May 17, 2017. Vested shares will be delivered to the reporting person on the applicable vesting dates (or, if the company is in a blackout period under its insider trading policy on any vesting date, at a later date after such blackout period ends).

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.

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