ESL INVESTMENTS, INC.

Form 4 May 14, 2015

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**OMB** Number:

**OMB APPROVAL** 

3235-0287

Expires:

January 31, 2005

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**SECURITIES** Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

obligations may continue. See Instruction

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 \* LAMPERT EDWARD S

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

AUTONATION, INC. [AN]

(Check all applicable)

(Last)

(First) (Middle) 3. Date of Earliest Transaction

4. If Amendment, Date Original

Director Officer (give title \_X\_\_ 10% Owner

1170 KANE CONCOURSE, SUITE

(Street)

200

(Month/Day/Year) 05/12/2015

Filed(Month/Day/Year)

below)

\_ Other (specify

6. Individual or Joint/Group Filing(Check

Applicable Line)

Form filed by One Reporting Person X Form filed by More than One Reporting

Person

**BAY HARBOR** ISLANDS, FL 33154

| (City)   | (State)                              | (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |  |   |         |                    |  |  |   |
|--|--------------------------------------|--|--|---|---------|--------------------|--|--|---|
| 1.Title of<br>Security<br>(Instr. 3)                 | 2. Transaction Date (Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year)                            | 3.<br>Transactic<br>Code<br>(Instr. 8) | 4. Securitie<br>oror Disposed<br>(Instr. 3, 4 | d of (D | 9)                 | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
| Common<br>Stock, par<br>value<br>\$0.01 per<br>share | 05/12/2015                           |  | S                                      | 107,095                                       | D       | \$<br>63.06<br>(1) | 12,851,483   | D (2) (3) (4) (5)  |   |
| Common<br>Stock, par<br>value<br>\$0.01 per<br>share | 05/12/2015                           |  | S                                      | 34  | D       | \$<br>63.06<br>(1) | 4,235  | I  | See Footnotes (2) (3) (4) (5) (6)                                 |
|  | 05/12/2015                           |  | S                                      | 61,933  | D       |                    | 7,968,160  | I  |   |

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| Common     | \$         | See   |
|------------|------------|---|
| Stock, par | 63.06      | Footnotes                                   |
| value      | <u>(1)</u> | <u>(2)</u> <u>(3)</u> <u>(4)</u> <u>(5)</u> |
| \$0.01 per |            | <u>(7)</u>                                  |
| share      |            |   |

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.

SEC 1474

(9-02)

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 4.<br>Transacti<br>Code<br>(Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) |                     | ate                | 7. Titl<br>Amou<br>Under<br>Securi<br>(Instr. | int of<br>lying                        | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secur<br>Bene<br>Own<br>Follo<br>Repo<br>Trans<br>(Instr |
|---|---|--------------------------------------|---------------------------------------|---|---------------------|--------------------|---|--|---|--|
|   |   |                                      | Code V                                | (A) (D)   | Date<br>Exercisable | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |   |  |

# **Reporting Owners**

| Reporting Owner Name / Address   | Relationships |           |         |       |  |  |
|--|---------------|-----------|---------|-------|--|--|
| corporating of the common requirements   | Director      | 10% Owner | Officer | Other |  |  |
| LAMPERT EDWARD S<br>1170 KANE CONCOURSE, SUITE 200<br>BAY HARBOR ISLANDS, FL 33154                 |               | X         |         |       |  |  |
| ESL PARTNERS, L.P.<br>1170 KANE CONCOURSE, SUITE 200<br>BAY HARBOR ISLANDS, FL 33154               |               | X         |         |       |  |  |
| RBS PARTNERS, L.P.<br>1170 KANE CONCOURSE, SUITE 200<br>BAY HARBOR ISLANDS, FL 33154               |               | X         |         |       |  |  |
| ESL INSTITUTIONAL PARTNERS, L.P.<br>1170 KANE CONCOURSE, SUITE 200<br>BAY HARBOR ISLANDS, FL 33154 |               | X         |         |       |  |  |
|  |               | X         |         |       |  |  |

Reporting Owners 2

RBS INVESTMENT MANAGEMENT, L.L.C. 1170 KANE CONCOURSE, SUITE 200 BAY HARBOR ISLANDS, FL 33154

ESL INVESTMENTS, INC.

1170 KANE CONCOURSE, SUITE 200 BAY HARBOR ISLANDS, FL 33154 X

### **Signatures**

EDWARD S. LAMPERT, By: /s/ Edward S. Lampert 05/14/2015 \*\*Signature of Reporting Person Date ESL PARTNERS, L.P., By: RBS Partners, L.P., Its: General Partner, By: ESL Investments, Inc., Its: General Partner, By: /s/ Edward S. Lampert, Name: Edward S. Lampert, Title: Chief 05/14/2015 **Executive Officer** \*\*Signature of Reporting Person Date RBS PARTNERS, L.P., By: ESL Investments, Inc., Its: General Partner, By: /s/ Edward S. Lampert, Name: Edward S. Lampert, Title: Chief Executive Officer 05/14/2015 \*\*Signature of Reporting Person Date ESL INSTITUTIONAL PARTNERS, L.P., By: RBS Investment Management, L.L.C., Its: General Partner, By: ESL Investments, Inc., Its: Manager, By: /s/ Edward S. Lampert, Name: 05/14/2015 Edward S. Lampert, Title: Chief Executive Officer \*\*Signature of Reporting Person Date RBS INVESTMENT MANAGEMENT, L.L.C., By: ESL Investments, Inc., Its: Manager, By: /s/ Edward S. Lampert, Name: Edward S. Lampert, Title: Chief Executive Officer 05/14/2015 \*\*Signature of Reporting Person Date ESL INVESTMENTS, INC., By: /s/ Edward S. Lampert, Name: Edward S. Lampert, Title: Chief Executive Officer 05/14/2015

# **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).

\*\*Signature of Reporting Person

This price represents the approximate weighted average price per share of common stock of AutoNation, Inc. (the "Issuer"), par value \$0.01 per share (each, a "Share"), of sales that were executed at prices ranging from \$62.90 to \$63.13 per Share. The reporting persons undertake to provide, upon request by the Securities and Exchange Commission staff, the Issuer or a security holder of the Issuer, full information regarding the number of Shares sold at each price.

Date

- This statement is jointly filed by and on behalf of each of Edward S. Lampert, ESL Partners, L.P. ("Partners"), RBS Partners, L.P. ("RBS"), ESL Institutional Partners, L.P. ("Institutional"), RBS Investment Management, L.L.C. ("RBSIM") and ESL Investments, Inc. ("ESL"). Mr. Lampert, Partners and Institutional are the direct beneficial owners of the securities covered by this statement.
  - RBS is the general partner of, and may be deemed to beneficially own securities owned by, Partners. RBSIM is the general partner of, and may be deemed to beneficially own securities owned by, Institutional. ESL is the general partner of RBS and the manager of RBSIM.
- (3) ESL may be deemed to beneficially own securities owned by RBS and RBSIM. Mr. Lampert is a limited partner of, and may be deemed to beneficially own certain securities owned by, RBS. Mr. Lampert is the Chairman, Chief Executive Officer and Director of, and may be deemed to beneficially own securities owned by, ESL.
- (4) The reporting persons state that neither the filing of this statement nor anything herein shall be deemed an admission that such persons are, for purposes of Section 16 of the Securities Exchange Act of 1934, as amended (the "Exchange Act") or otherwise, the beneficial owners of any securities covered by this statement. The reporting persons disclaim beneficial ownership of the securities covered by this

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statement, except to the extent of the pecuniary interest of such persons in such securities.

- The reporting persons may be deemed to be a member of a group with respect to the Issuer or securities of the Issuer for purposes of Section 13(d) or 13(g) of the Exchange Act. The reporting persons declare that neither the filing of this statement nor anything herein shall be construed as an admission that such persons are, for the purposes of Section 13(d) or 13(g) of the Exchange Act or any other purpose, a member of a group with respect to the Issuer or securities of the Issuer.
- (6) Represents shares directly beneficially owned by Institutional.
- (7) Represents shares directly beneficially owned by Partners.

#### **Remarks:**

**Exhibit Index** 

Exhibit 99.1 - Joint Filer Information (filed herewith)

Exhibit 99.2 - Joint Filing Agreement (filed herewith)

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.