Edgar Filing: RBS INVESTMENT MANAGEMENT LLC - Form 4

RBS INVESTMENT MANAGEMENT LLC Form 4 December 14, 2011 **OMB APPROVAL** FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person * 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading LAMPERT EDWARD S Issuer Symbol AUTOZONE INC [AZO] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) Director X__ 10% Owner Officer (give title Other (specify 200 GREENWICH AVENUE 12/12/2011 below) below) (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) Form filed by One Reporting Person X_Form filed by More than One Reporting GREENWICH. CT 06830 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired (A) 5. Amount of 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction Disposed of (D) Securities Ownership Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial anv (Month/Day/Year) (Instr. 8) Owned Direct (D) Ownership Following or Indirect (Instr. 4) Reported (T) (A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Code V Amount (D) Price Common Stock, par \$ See value 12/12/2011 S 14,106 D 331.72 3,879,314 I Footnotes (1) (2) (3) \$0.01 per share Common Stock, par See \$ 329 S I value 12/13/2011 336 D 3,878,978 Footnotes (4) (2) (3) \$0.01 per share 6,148 Common 12/13/2011 S D \$ 330.4 3,872.830 Ι See (5) Stock, par Footnotes

value \$0.01 per share								<u>(2)</u> <u>(3)</u>
Common Stock, par value \$0.01 per share	12/13/2011	S	1,528	D	\$ 333.2 (6)	3,871,302	Ι	See Footnotes (2) (3)
Common Stock, par value \$0.01 per share	12/12/2011	S	3,914	D	\$ 331.72 (1)	1,307,861	Ι	See Footnotes (3) (7)
Common Stock, par value \$0.01 per share	12/13/2011	S	91	D	\$ 329 (<u>4)</u>	1,307,770	Ι	See Footnotes $(3) (7)$
Common Stock, par value \$0.01 per share	12/13/2011	S	1,653	D	\$ 330.4 (5)	1,306,117	I	See Footnotes (3) (7)
Common Stock, par value \$0.01 per share	12/13/2011	S	410	D	\$ 333.2 (6)	1,305,707	Ι	See Footnotes (3) (7)
Common Stock, par value \$0.01 per share	12/12/2011	S	3	D	\$ 331.72 (1)	930	Ι	See Footnotes (3) (8)
Common Stock, par value \$0.01 per share	12/13/2011	S	2	D	\$ 330.4 (5)	928	Ι	See Footnotes (3) (8)
Common Stock, par value \$0.01 per share	12/12/2011	S	7,327	D	\$ 331.72 (1)	2,127,245	D (3) (9)	
Common Stock, par value	12/13/2011	S	167	D	\$ 329 (4)	2,127,078	D (3) (9)	

\$0.01 per share								
Common Stock, par value \$0.01 per share	12/13/2011	S	3,048	D	\$ 330.4 (5)	2,124,030	D (<u>3) (9)</u>	
Common Stock, par value \$0.01 per share	12/13/2011	S	758	D	\$ 330.2 (6)	2,123,272	D (3) (9)	
Common Stock, par value \$0.01 per share						2,000,000	I	See Footnotes (3) (10)

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.

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)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactio Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		Date	Amou Unde Secur	le and unt of rlying ities . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owno Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

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LAMPERT EDWARD S 200 GREENWICH AVENUE GREENWICH, CT 06830	
ESL PARTNERS, L.P. 200 GREENWICH AVENUE GREENWICH, CT 06830	Х
ESL INVESTORS LLC 200 GREENWICH AVENUE GREENWICH, CT 06830	Х
ESL INSTITUTIONAL PARTNERS LP 200 GREENWICH AVENUE GREENWICH, CT 06830	Х
ESL INVESTMENTS INC 200 GREENWICH AVENUE GREENWICH, CT 06830	X
RBS INVESTMENT MANAGEMENT LLC 200 GREENWICH AVENUE GREENWICH, CT 06830	X
RBS PARTNERS L P /CT 200 GREENWICH AVENUE GREENWICH, CT 06830	Х

Signatures

/s/ Edward S. Lampert	12/14/2011
**Signature of Reporting Person	Date
ESL PARTNERS, L.P., By: RBS Partners, L.P., as its general partner, By: ESL Investments, Inc., as its general partner, By: /s/ Adrian J. Maizey, Chief Financial Officer	12/14/2011
**Signature of Reporting Person	Date
ESL INVESTORS, L.L.C., By: RBS Partners, L.P., as its manager, By: ESL Investments, Inc., as its general partner, By: /s/ Adrian J. Maizey, Chief Financial Officer	12/14/2011
**Signature of Reporting Person	Date
ESL INSTITUTIONAL PARTNERS, L.P., By: RBS Investment Management, L.L.C., as its general partner, By: ESL Investments, Inc., as its manager, By: /s/ Adrian J. Maizey, Chief Financial Officer	12/14/2011
**Signature of Reporting Person	Date
ESL INVESTMENTS, INC., By: /s/ Adrian J. Maizey, Chief Financial Officer	12/14/2011
**Signature of Reporting Person	Date
RBS INVESTMENT MANAGEMENT, L.L.C., By: ESL Investments, Inc., as its manager, By: /s/ Adrian J. Maizey, Chief Financial Officer	12/14/2011
**Signature of Reporting Person	Date
DDC DADTNEDS I. D. Dry ESI Investments Inc. of its general neutron Dry /s/ Advien I	

RBS PARTNERS, L.P., By: ESL Investments, Inc., as its general partner, By: /s/ Adrian J.

Maizey, Chief Financial Officer

**Signature of Reporting Person

12/14/2011 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).

This price represents the approximate weighted average price per share of common stock of AutoZone, Inc. (the "Issuer"), par value \$0.01 per share (each, a "Share"), of sales that were executed at prices ranging from \$331.50 to \$332.39 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.

(2) These Shares are held by ESL Partners, L.P. ("Partners").

(3) This Form 4 is filed on behalf of Mr. Lampert, ESL Investments, Inc. ("Investments"), Institutional, RBS Partners, L.P. ("RBS"), RBS Investment Management, L.L.C. ("RBSIM"), Partners and Investors. RBS is the general partner of Partners and the managing member of Investors. RBSIM is the general partner of Institutional. Investments is the general partner of RBS and Acres and the manager of RBSIM. Mr. Lampert is the Chairman, Chief Executive Officer and Director of Investments.

This price represents the approximate weighted average price per Share, of sales that were executed at prices ranging from \$329.00 to
 (4) \$329.03 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.

This price represents the approximate weighted average price per Share, of sales that were executed at prices ranging from \$330.00 to
 (5) \$330.91 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.

This price represents the approximate weighted average price per Share, of sales that were executed at prices ranging from \$333.00 to
 (6) \$333.52 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.

- (7) These Shares are held in an account established by the investment member of ESL Investors, L.L.C. ("Investors").
- (8) These Shares are held by ESL Institutional Partners, L.P. ("Institutional").
- (9) These Shares are held by Edward S. Lampert.
- (10) These Shares are held by Acres Partners, L.P. ("Acres").

Remarks:

(1)

Pursuant to Rule 16a-1(a)(2)(ii)(B) under the Securities Exchange Act of 1934, as amended (the "Act"), each of the Reporting Persons is, for purposes of Section 16 of the Act or otherwise, the beneficial owner of any securities reported herein in excess Page

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.