Edgar Filing: CAPSTEAD MORTGAGE CORP - Form 4

CAPSTEAD MORTGAGE CORP Form 4 November 03, 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 MAHOWALD CHRISTOPHER W Issuer Symbol CAPSTEAD MORTGAGE CORP (Check all applicable) [CMO] (Last) (First) (Middle) 3. Date of Earliest Transaction X_ Director 10% Owner Officer (give title Other (specify (Month/Day/Year) below) below) 8401 N. CENTRAL 11/01/2011 **EXPRESSWAY, SUITE 800** (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting DALLAS, TX 75225 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) any Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial (Month/Day/Year) Owned Direct (D) Ownership (Instr. 8) Following or Indirect (Instr. 4) Reported (I)(A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Code V (D) Price Amount Common 11/01/2011 Р \$11.94 2,400 A 59,059 D Stock Common 11/01/2011 Ρ 1,100 \$ 11.945 60,159 D A Stock Common 11/01/2011 Ρ 1,700 A 61,859 D 11.9475 Stock Common Ρ D 11/01/2011 34.800 A \$ 11.95 96,659 Stock

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

Edgar Filing: CAPSTEAD MORTGAGE CORP - Form 4

SEC 1474 Persons who respond to the collection of 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)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. of Derivative Securities Acquired (A) or Disposed of (D)		te Year)	7. Title a Amount Underlyi Securitie (Instr. 3 a	ınt of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
				(Instr. 3, 4, and 5)	Date	Expiration	Title	Amount or Number		
			Code V	(A) (D)	Exercisable	Date	THE	of Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships							
1 8 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9 9	Director	10% Owner	Officer	Other				
MAHOWALD CHRISTOPHER W 8401 N. CENTRAL EXPRESSWAY SUITE 800 DALLAS, TX 75225	Х							
Signatures								
By: Kelly L. Sargeant For: Christophe Mahowald	r W.		11/03/2011					
** 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).

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.