

THOMAS JOHN D
Form 4
October 03, 2017

FORM 4

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

OMB APPROVAL

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STATEMENT OF CHANGES IN 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 *
THOMAS JOHN D

2. Issuer Name and Ticker or Trading Symbol
CUBIC CORP /DE/ [CUB]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
9333 BALBOA AVENUE
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
10/01/2017

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
EVP/CFO

SAN DIEGO, CA 92123

4. 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

(City) (State) (Zip)

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

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| Common Stock | 10/01/2017 | | M | (A) or (D) 7,929 (1) | 16,123 | D | |
| Common Stock | 10/01/2017 | | F | (A) or (D) 2,982 (2) | \$ 51 13,141 | D | |
| Common Stock | | | | | 2,172.8162 | I | Cubic 401(K) (3) |
| Common Stock | | | | | 100 | I | John David Thomas IRA (4) |
| Common Stock | | | | | 1,969.83 | I | The John David |

| | | | |
|-----------------|--------|---|---|
| Common Stock | 14,625 | I | Thomas 1998 Trust <u>(5)</u> The Thomas Family 2009 Trust <u>(6)</u> |
|-----------------|--------|---|---|

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.

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(9-02)

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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Pr Deriv Secu (Instr | |
|---|--|---|---|--------------------------------------|---|--|---|----------------------------------|--|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Restricted Stock Units | <u>(1)</u> | 10/01/2017 | | M | 1,893 | <u>(7)</u> | <u>(7)</u> | Common Stock | 1,893 |
| Restricted Stock Units | <u>(1)</u> | 10/01/2017 | | M | 1,950 | <u>(8)</u> | <u>(8)</u> | Common Stock | 1,950 |
| Restricted Stock Units | <u>(1)</u> | 10/01/2017 | | M | 2,050 | <u>(9)</u> | <u>(9)</u> | Common Stock | 2,050 |
| Restricted Stock Units | <u>(1)</u> | 10/01/2017 | | M | 2,036 | <u>(10)</u> | <u>(10)</u> | Common Stock | 2,036 |

Reporting Owners

Reporting Owner Name / Address

Relationships

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Director 10% Owner Officer Other

THOMAS JOHN D
9333 BALBOA AVENUE
SAN DIEGO, CA 92123

EVP/CFO

Signatures

Angela L. Hartley, Attorney-in-fact for John D.
Thomas

10/03/2017

 **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) Reflects the issuance of CUB common stock upon vesting of restricted stock units ("RSUs"). Each RSU granted at that time represented a contingent right to receive one share of CUB stock.
- (2) Shares withheld by CUB to satisfy the minimum statutory tax withholding obligations that arose upon the vesting of the RSUs.
- (3) Represents shares held by the Reporting Person's 401(k).
- (4) Represents shares held by the John David Thomas IRA, of which the Reporting Person is the Trustee with full voting and disposition rights.
- (5) Represents shares held by the John David Thomas 1998Trust, of which the Reporting Person is the Trustee with full voting and disposition rights.
- (6) Represents the shares held by the Thomas Family 2009 Trust, of which the Reporting Person and his spouse are co-trustees with full voting and disposition rights.
- (7) This is the fourth and final of 4 vesting installments of RSUs granted to the Reporting Person on December 12, 2013.
This is the third of 4 vesting installments of RSUs granted to the Reporting Person on November 6, 2014. The remaining 1,947 shares
- (8) from such grant shall vest on October 1, 2018, subject to the Reporting Person's continuous service through each application vesting date.
This is the second of 4 vesting installments of RSUs granted to the Reporting Person on November 6, 2015. The remaining 4097 shares
- (9) from such grant shall vest in 2 equal installments on October 1, 2018 and 2019, subject to the Reporting Person's continuous service through such application vesting date.
This is the first of 4 vesting installments of RSU's granted to the Reporting Person on November 14, 2016. The remaining 6108 shares
- (10) from such grant shall vest in 3 equal installments on October 1, 2018, 2019 and 2020, subject to the Reporting Person's continuous service through each application vesting date.

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.