

Calamos Asset Management, Inc. /DE/
Form 4
December 15, 2014

FORM 4

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

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
CALAMOS JOHN P SR

2. Issuer Name **and** Ticker or Trading
Symbol
Calamos Asset Management, Inc.
/DE/ [CLMS]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
2020 CALAMOS COURT
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
12/15/2014

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
Chairman, CEO, Global Co-CIO

NAPERVILLE, IL 60563

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)
			Code	V	Amount	(A) or (D)	Price
Class A Common Stock ⁽¹⁾	12/15/2014		P		100	A	\$ 12.17
					3,528,844.468	D	
Class A Common Stock ⁽¹⁾	12/15/2014		P		100	A	\$ 12.18
					3,528,944.468	D	
Class A Common Stock ⁽¹⁾	12/15/2014		P		300	A	\$ 12.19
					3,529,244.468	D	
Class A Common	12/15/2014		P		300	A	\$
					3,529,544.468	D	
					12.2033		

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Stock ⁽¹⁾

Class A

Common	12/15/2014	P	683	A	\$ 12.21	3,530,227.468	D
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Stock ⁽¹⁾

Class A

Common	12/15/2014	P	126	A	\$ 12.28	3,530,353.468	D
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Stock ⁽¹⁾

Class A

Common	12/15/2014	P	711	A	\$ 12.29	3,531,064.468	D
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Stock ⁽¹⁾

Class A

Common	12/15/2014	P	700	A	\$ 12.2971	3,531,764.468	D
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Stock ⁽¹⁾

Class A

Common	12/15/2014	P	4,372	A	\$ 12.3	3,536,136.468	D
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Stock ⁽¹⁾

Class A

Common						7,200.127	I	By Spouse
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Stock

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

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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. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reportable Transaction (Instr. 6)
				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
CALAMOS JOHN P SR 2020 CALAMOS COURT NAPERVILLE, IL 60563	X	X	Chairman, CEO, Global Co-CIO	
Calamos Family Partners, Inc. 2020 CALAMOS COURT NAPERVILLE, IL 60563		X		

Signatures

/s/ J. Christopher Jackson,
Attorney-in-Fact

12/15/2014

__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).

- THE SHARE PURCHASES IN THIS FORM 4 ARE NOT DIRECTLY FOR THE INDIVIDUAL, PERSONAL ACCOUNTS OF JOHN P. CALAMOS, SR. THESE TRANSACTIONS REFLECT THE PURCHASE OF CALAMOS ASSET MANAGEMENT, INC. (CAM) SHARES BY CALAMOS INVESTMENTS LLC (CILLC) PRIMARILY TO MANAGE DILUTION RESULTING FROM AND
- (1) POTENTIALLY TO FULFILL THE REQUIREMENTS OF CAM'S EQUITY COMPENSATION PLAN. JOHN P. CALAMOS, SR. OWNS A CONTROLLING INTEREST IN CALAMOS FAMILY PARTNERS, INC., WHICH IN TURN OWNS 77.8% OF CILLC. AS A RESULT, JOHN P. CALAMOS, SR. AND CALAMOS FAMILY PARTNERS, INC. ARE REQUIRED TO FILE THIS FORM 4 RELATING TO TRANSACTIONS OF THE CORPORATE REPURCHASE PROGRAM OCCURRING THROUGH CILLC.
- (2) Total represents 2,955,928.468 shares of Class A Common Stock and 580,208 Restricted Stock Units (which will be settled solely in shares of Class A Common Stock).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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