Heritage Insurance Holdings, Inc.

Form 4

December 29, 2015

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

**OMB APPROVAL** 

OMB 3235-0287 Number:

January 31, Expires: 2005 Estimated average

10% Owner

Other (specify

burden hours per response... 0.5

if no longer subject to Section 16.

**SECURITIES** Form 4 or 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. See Instruction

30(h) of the Investment Company Act of 1940 1(b).

(Middle)

(Print or Type Responses)

(Last)

1. Name and Address of Reporting Person \* Garateix Ernie J

2. Issuer Name and Ticker or Trading Symbol

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

Heritage Insurance Holdings, Inc.

[HRTG]

3. Date of Earliest Transaction

(Month/Day/Year) 12/24/2015

5. Relationship of Reporting Person(s) to

Issuer

below)

(Check all applicable)

Chief Operating Officer

C/O HERITAGE INSURANCE

(First)

HOLDINGS, INC., 2600 MCCORMICK DRIVE SUITE 300

(Street) 4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)

Director

X\_ Officer (give title

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

CLEARWATER, FL 33759

(City)	(State)	(Zip) Tab	le I - Non-	Derivativo	e Secu	rities Acqui	red, Disposed of,	or Beneficiall	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Date, if Transaction Disposed of (D) Code (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	12/24/2015		M	8,000	A	\$ 22.0443	162,243	D	
Common Stock	12/24/2015		S	8,000	D	\$ 22.0443	154,243	D	

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form

#### Edgar Filing: Heritage Insurance Holdings, Inc. - Form 4

## displays a currently valid OMB control number.

8. l De Sec (In

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

1. Title of Derivative	2.	3. Transaction Date		4. 5. Number		6. Date Exercisable and		7. Title and Amount of		
Security	Conversion or Exercise	(Month/Day/Year)	Execution Date, if any	Transaction Derivative Code Securities		Expiration Date (Month/Day/Year)		Underlying Securities (Instr. 3 and 4)		
(Instr. 3)	Price of Derivative		(Month/Day/Year)	(Instr. 8)	astr. 8) Acquired (A) or					
	Security				Disposed of					
				(D)						
					(Instr. 3, 4, and 5)					
							Date Exercisable	Expiration Date	Title	Amount or Number of
				Code V	(A) (E	))				Shares
Stock Option (Right to Buy)	\$ 16.89	12/24/2015		M	8,0	000	(2)	12/02/2017	Common Stock	8,000

### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Garateix Ernie J C/O HERITAGE INSURANCE HOLDINGS, INC. 2600 MCCORMICK DRIVE SUITE 300 CLEARWATER, FL 33759

**Chief Operating Officer** 

### **Signatures**

/s/ Bruce Lucas, by Power of Attorney 12/29/2015

\*\*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 price is the weighted average price for the transactions reported on this line. The range of prices for the transactions reported on this (1) line is between \$22.00 and \$22.13 per share. Complete information regarding the number of shares sold at each separate price will be provided upon request by the Commission Staff, the issuer or a security holder of the issuer.
- (2) Fifty percent (50%) of the stock options reported on this line were immediately vested on the grant date, and the remaining fifty percent (50%) vested on April 30, 2015.

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.

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