### Edgar Filing: NAVISTAR INTERNATIONAL CORP - Form 4

NAVISTAR INTERNATIONAL CORP Form 4 February 05, 2014 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 CLARKE TROY A Issuer Symbol NAVISTAR INTERNATIONAL (Check all applicable) CORP [NAV] (Last) (First) (Middle) 3. Date of Earliest Transaction \_X\_\_ Director 10% Owner X\_Officer (give title Other (specify (Month/Day/Year) below) below) NAVISTAR INTERNATIONAL 02/03/2014 President & CEO CORPORATION, 2701 NAVISTAR DRIVE (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 LISLE, IL 60532 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 5. Amount of 6. Ownership 7. Nature of TransactionAcquired (A) or Indirect Security (Month/Day/Year) Execution Date, if Securities Form: Direct (Instr. 3) Code Disposed of (D) Beneficially (D) or Beneficial anv (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Indirect (I) Ownership (Instr. 4) Following (Instr. 4) Reported (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price Common D 54,100 Stock Premium Share Units 6.113 D (1)

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

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#### number.

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | 5. Number<br>onof Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exer<br>Expiration D<br>(Month/Day, | Date               | 7. Title and A<br>Underlying S<br>(Instr. 3 and | Securities                             | 8. Pr<br>Deriv<br>Secu<br>(Inst |
|---|---|---|---|--|---|---|--------------------|---|--|---------------------------------|
|   |   |   |   | Code V                                 | (A) (D)   | Date<br>Exercisable                         | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |                                 |
| Restricted<br>Stock<br>Units                        | <u>(2)</u>  | 02/03/2014                              |   | А                                      | 5,493   | (3)   | (3)                | Common<br>Stock                                 | 5,493                                  | \$                              |

# **Reporting Owners**

| Reporting Owner Name / Address  | Relationships |           |                    |       |  |
|---|---------------|-----------|--------------------|-------|--|
|   | Director      | 10% Owner | Officer            | Other |  |
| CLARKE TROY A<br>NAVISTAR INTERNATIONAL CORPORATION<br>2701 NAVISTAR DRIVE<br>LISLE, IL 60532 | Х             |           | President<br>& CEO |       |  |
| Signatures  |               |           |                    |       |  |

## Signatures

| Curt A. Kramer, Attorney        |            |
|---------------------------------|------------|
| in fact                         | 02/05/2014 |
| **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).
- (1) The premium share units were acquired under Navistar's Executive Stock Ownership Program. Each premium share unit represents one share of Navistar common stock.
- (2) Each restricted stock unit (RSU) represents the right to receive the cash equivalent of Navistar's common stock converted on a 1 to 1 basis, unless Navistar otherwise elects to settle the RSUs in Navistar common stock on a 1 to 1 basis.
- (3) The RSUs will become payable in cash, unless Navistar elects to settle the RSUs in common stock, in three annual installments as follows: 1,831 shares on 2/3/2015; 1,831 shares on 2/3/16; and 1,831 shares on 2/3/17.

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.