# TWO HARBORS INVESTMENT CORP.

Form 144

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3(a)

February 03, 2017

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NO.

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

#### **FORM 144**

### NOTICE OF PROPOSED SALE OF SECURITIES

PURSUANT TO RULE 144 UNDER THE SECURITIES ACT OF 1933

**ATTENTION:** Transmit for filing 3 copies of this form concurrently with either placing an order with a broker to execute sale or executing a sale directly with a market maker.

1 (a) NAME OF ISSUER (Please type or print) (b) IRS IDENT. NO. (c) S.E.C. FILE NO.

Two Harbors Investment Corp. 27-0312904 001-34506

ADDRESS OF STREET CITY STATE ZIP CODE

ISSUER (e) TELEPHONE NO.

590 Madison Avenue, 36th AREA

Floor New York NY 10022 CODE NUMBER

612 629-2500

 $2\ (a) \qquad \text{NAME OF PERSON FOR WHOSE} \qquad \qquad (b) \text{RELATIONSHIP TO} \qquad (c) \text{ADDRESS STREET} \qquad \text{CITY} \qquad \text{STATE} \qquad \text{ZIP CODE}$ 

ACCOUNT THE SECURITIES ARE ISSUER

TO BE SOLD

(b)

Common Stock TD Ameritrade, Inc.

Rebecca B. Sandberg Officer 590 Madison Avenue, 36th Floor New York NY 10022

INSTRUCTION: The person filing this notice should contact the issuer to obtain the I.R.S. Identification Number and the S.E.C. File Number.

(d)

(0)

347,643,717

(f)

2/6/2017

5(4)	(0)	ONLY	(4)	(0)	07		(8)
S	Title of the Class of Securities	Name and Address of Each Broker Broker-Dealer Through Whom File Number the Securities are to be Offered or Each Market Maker who	Number of Shares or Other Units To Be Sold	Aggregate Market Value	Number of Shares or Other Units Outstanding	Approximate Date of Sale	Name of Each Securities Exchange
	To Be Sold	is Acquiring the Securities	(See instr. $3(c)$ )	(See instr. 3(d))	(See instr. 3(e))	(See instr. 3(f)) (MO. DAY YR.)	(See instr. $3(g)$ )

200 South 108th Avenue 2/2/2017 based at 11/2/2016

6,325

SEC USE (c)

on

Omaha, NE 68154

\$8.76 closing price

\$55,407 as of

on NYSE

### **INSTRUCTIONS:**

1.(a) Name of issuer
(b) Issuer s I R S Identification Num

(b) Issuer s I.R.S. Identification Number (c) Issuer s S.E.C. file number, if any

- 3.(a) Title of the class of securities to be sold
- (b) Name and address of each broker through whom the securities are intended to be sold
- (c) Number of shares or other units to be sold (if debt securities, give the aggregate face amount)

- (d) Issuer s address, including zip code
- (e) Issuer s telephone number, including area
- 2.(a) Name of person for whose account the securities are to be sold
- (b) Such person s relationship to the issuer (e.g., officer, director, 10% stockholder, or member of immediate family of any of the foregoing)
- (c) Such person s address, including zip code

- (d) Aggregate market value of the securities to be sold as of a specified date within 10 days prior to the filing of this notice
- (e) Number of shares or other units of the class outstanding, or if debt securities the face amount thereof outstanding, as shown by the most recent report or statement published by the issuer
- (f) Approximate date on which the securities are to be sold
- (g) Name of each securities exchange, if any, on which the securities are intended to be sold

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 control number.

SEC 1147 (08-07)

#### TABLE I SECURITIES TO BE SOLD

Furnish the following information with respect to the acquisition of the securities to be sold and with respect to the payment of all or any part of the purchase price or other consideration therefor:

		Name of Person from Whom				
Title of the Class	Date you Acquired	Nature of Acquisition Transaction Restricted Stock Award, granted pursuant to	Acquired (If gift, also give date donor acquired)	Amount of Securities Acquired	Date of Payment	Nature of Payment
Common Stock	2/5/2014	Issuer's Second Restated 2009 Equity	Two Harbors Investment Corp.	6,325	n/a	n/a

Incentive Plan

**INSTRUCTIONS:** 

If the securities were purchased and full payment therefor was not made in cash at the time of purchase, explain in the table or in a note thereto the nature of the consideration given. If the consideration consisted of any note or other obligation, or if payment was made in installments describe the arrangement and state when the note or other obligation was discharged in full or the last installment paid.

## TABLE II SECURITIES SOLD DURING THE PAST 3 MONTHS

Furnish the following information as to all securities of the issuer sold during the past 3 months by the person for whose account the securities are to be sold.

			Amount of	
Name and Address of Seller	Title of Securities Sold	Date of Sale	Securities Sold	<b>Gross Proceeds</b>

**REMARKS:** The reporting person anticipates selling the shares for the purpose of satisfying income tax liabilities incurred upon vesting of the restricted stock award.

## **INSTRUCTIONS:**

See the definition of person in paragraph (a) of Rule 144. Information is to be given not only as to the person for whose account the securities are to be sold but also as to all other persons included in that definition. In addition, information shall be given as to sales by all persons whose sales are required by paragraph (e) of Rule 144 to be aggregated with sales for the account of the person filing this notice.

#### ATTENTION:

The person for whose account the securities to which this notice relates are to be sold hereby represents by signing this notice that he does not know any material adverse information in regard to the current and prospective operations of the Issuer of the securities to be sold which has not been publicly disclosed. If such person has adopted a written trading plan or given trading instructions to satisfy Rule 10b5-1 under the Exchange Act, by signing the form and indicating the date that the plan was adopted or the instruction given, that person makes such representation as of the plan adoption or instruction date.

2/3/2017 DATE OF NOTICE /s/ Rebecca B. Sandberg (SIGNATURE)

\$5/18/2015\$ DATE OF PLAN ADOPTION OR GIVING OF INSTRUCTION, IF RELYING ON RULE 10B5-1

The notice shall be signed by the person for whose account the securities are to be sold. At least one copy of the notice shall be manually signed. Any copies not manually signed shall bear typed or printed signatures.

ATTENTION: Intentional misstatements or omission of facts constitute Federal Criminal Violations (See 18 U.S.C. 1001)

SEC 1147 (02-08)