TWO HARBORS INVESTMENT CORP.

Form 4

October 13, 2017

## FORM 4

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

OMB 3235-0287 Number:

burden hours per

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

January 31, Expires: 2005 Estimated average

0.5

**OMB APPROVAL** 

Form 4 or Form 5 obligations may continue. See Instruction

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

response...

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* TWO HARBORS INVESTMENT CORP.

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

(First)

(Street)

Granite Point Mortgage Trust Inc.

(Month/Day/Year)

10/11/2017

[GPMT]

(Check all applicable)

(Last)

(Middle)

3. Date of Earliest Transaction

Director X\_\_ 10% Owner \_ Other (specify Officer (give title

590 MADISON AVENUE, 36TH **FLOOR** 

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year)

Applicable Line)

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

Person

below)

NEW YORK, NY 10022

(City)	(State)	(Zip) Tak	ole I - Non-	-Derivative	Secu	rities Acquir	ed, 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)	3. Transacti Code (Instr. 8)	or Dispos (Instr. 3,	ed of		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, par value \$0.01 per share	10/11/2017		Р	10,290 (1)	A	\$ 18.9479 (2)	33,398,608	I	See footnote (3)
Common stock, par value \$0.01 per share	10/12/2017		P	14,427 (1)	A	\$ 18.9434 (4)	33,413,035	I	See footnote (3)
	10/13/2017		P		A		33,416,507	I	

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Common	3,472	\$	See
stock, par	<u>(1)</u>	18.9598	footnote
value		<u>(5)</u>	(3)
\$0.01 per			

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.

SEC 1474 (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. Transac Code (Instr. 8	5. tionNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	S	ate	7. Title Amou Under Securi (Instr.	nt of lying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
				Code V	/ (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

# **Reporting Owners**

share

Reporting Owner Name / Address	Relationships					
	Director	Other				
TWO HARBORS INVESTMENT CORP. 590 MADISON AVENUE 36TH FLOOR NEW YORK, NY 10022		X				
Capitol Acquisition Corp 601 CARLSON PARKWAY SUITE 1400 MINNETONKA, MN 55305		X				
TWO HARBORS OPERATING Co LLC 590 MADISON AVENUE 36TH FLOOR NEW YORK, NY 10022		X				

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### **Signatures**

/s/ Two Harbors Investment Corp., By: Thomas Siering, President and Chief Executive
Officer

\*\*Signature of Reporting Person
Date

/s/ Capitol Acquisition Corp. By: Thomas Siering, President and Chief Executive Officer

\*\*Signature of Reporting Person
Date

/s/ Two Harbors Operating Company, LLC, By: Thomas Siering, President and Chief

/s/ Two Harbors Operating Company LLC, By: Thomas Siering, President and Chief Executive Officer

10/13/2017

\*\*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).
  - The securities were purchased by Capitol Acquisition Corp. ("Capitol"), a wholly owned indirect subsidiary of Two Harbors Investment Corp. ("Two Harbors"), pursuant to a rule 10b5-1 stock purchase plan that Two Harbors committed to adopt in connection with Granite
- (1) Point Mortgage Trust Inc.'s ("Granite Point") formation transaction and initial public offering ("IPO"). As previously disclosed, Two Harbors does not intend to distribute any shares that Capitol acquires through the stock purchase plan to its stockholders as part of an anticipated special dividend of Granite Point shares. Any shares of common stock purchased by Capitol pursuant to the stock purchase plan are subject to lock-up arrangements between Two Harbors and the IPO underwriters.
- (2) Per share price reflects the weighted average price paid. The shares were purchased in multiple transactions at prices ranging from \$18.92 to \$18.96. The reporting person undertakes to provide, upon request, full information regarding the shares purchased in such transactions.
- (3) The securities are held by wholly owned subsidiaries of Two Harbors. As of the date hereof, 33,071,000 shares were held by Two Harbors Operating Company LLC and 345,507 shares were held by Capitol.
- Per share price reflects the weighted average price paid. The shares were purchased in multiple transactions at prices ranging from \$18.90 to \$18.96. The reporting person undertakes to provide, upon request, full information regarding the shares purchased in such transactions.
- Per share price reflects the weighted average price paid. The shares were purchased in multiple transactions at prices ranging from \$18.94 to \$18.96. The reporting person undertakes to provide, upon request, full information regarding the shares purchased in such transactions.

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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