

TRI Pointe Homes, Inc.
Form 3
July 17, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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

(Print or Type Responses)

1. Name and Address of Reporting Person *
 Â Shapiro Alan Edward
 (Last) (First) (Middle)

2. Date of Event Requiring Statement
 (Month/Day/Year)
 07/07/2014

3. Issuer Name and Ticker or Trading Symbol
 TRI Pointe Homes, Inc. [TPH]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

C/O TRI POINTE HOMES,
INC.,Â 19520 JAMBOREE
ROAD, SUITE 200
 (Street)

(Check all applicable)

Director 10% Owner
 Officer Other
 (give title below) (specify below)
 President of Winchester Homes

IRVINE,Â CAÂ 92612
 (City) (State) (Zip)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|------------------------------------|--|---|--|
| Common Stock | 29,610 | D | Â |

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of Derivative | 5. Ownership Form of Derivative Security: | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---|---|--|---|---|--|
|---|---|--|---|---|--|

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| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Security | Direct (D) or Indirect (I) (Instr. 5) | |
|-----------------------------|------------------|-----------------|--------------|----------------------------|----------|---------------------------------------|---|
| Stock Option (Right to Buy) | Â <u>(1)</u> | 02/16/2015 | Common Stock | 11,767 | \$ 11.33 | D | Â |
| Stock Option (Right to Buy) | Â <u>(2)</u> | 02/15/2016 | Common Stock | 16,809 | \$ 12.45 | D | Â |
| Stock Option (Right to Buy) | Â <u>(3)</u> | 02/14/2017 | Common Stock | 16,807 | \$ 14.4 | D | Â |
| Stock Option (Right to Buy) | Â <u>(4)</u> | 02/20/2018 | Common Stock | 17,647 | \$ 11.16 | D | Â |
| Stock Option (Right to Buy) | Â <u>(5)</u> | 02/15/2019 | Common Stock | 9,662 | \$ 4.51 | D | Â |
| Stock Option (Right to Buy) | Â <u>(6)</u> | 02/10/2020 | Common Stock | 31,042 | \$ 7.01 | D | Â |
| Stock Option (Right to Buy) | Â <u>(7)</u> | 02/09/2021 | Common Stock | 26,384 | \$ 11.45 | D | Â |
| Stock Option (Right to Buy) | Â <u>(8)</u> | 02/08/2022 | Common Stock | 41,159 | \$ 9.67 | D | Â |
| Stock Option (Right to Buy) | Â <u>(9)</u> | 02/13/2023 | Common Stock | 30,605 | \$ 14.47 | D | Â |
| Stock Option (Right to Buy) | Â <u>(10)</u> | 02/12/2024 | Common Stock | 40,103 | \$ 14.29 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Shapiro Alan Edward C/O TRI POINTE HOMES, INC. 19520 JAMBOREE ROAD, SUITE 200 IRVINE, CA 92612 | Â | Â | Â President of Winchester Homes | Â |

Signatures

Michael D. Grubbs,
attorney-in-fact

07/17/2014

 **Signature of Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 5(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) Stock options vest ratably over four years.
- (2) Stock options vest ratably over four years.

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- (3) Stock options vest ratably over four years.
- (4) Stock options vest ratably over four years.
- (5) Stock options vest ratably over four years.
- (6) Stock options vest ratably over four years.
- (7) Stock options vest ratably over four years.
- (8) Stock options vest ratably over four years.
- (9) Stock options vest ratably over four years.
- (10) Stock options vest ratably over four years.

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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