#### Edgar Filing: WESTWOOD HOLDINGS GROUP INC - Form 3

#### WESTWOOD HOLDINGS GROUP INC

Form 3 May 02, 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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement WESTWOOD HOLDINGS GROUP INC [WHG] HARDCASTLE WILLIAM R (Month/Day/Year) 04/30/2014 JR 4. Relationship of Reporting (Last) (First) (Middle) 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 200 CRESCENT (Check all applicable) COURT. SUITE 1200 (Street) 6. Individual or Joint/Group Director 10% Owner Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Chief Financial Officer Person DALLAS. TXÂ 75201 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 3. 4. Nature of Indirect Beneficial Beneficially Owned Ownership (Instr. 4) Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â common stock 46,880 D 200 Ι As UTMA custodian for daughter common stock common stock 200 I As UTMA custodian for son Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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.

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

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1. Title of Derivative Security

**Expiration Date** (Month/Day/Year)

2. Date Exercisable and 3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

Conversion or Exercise Price of Derivative

Ownership Form of Derivative Security:

6. Nature of Indirect Beneficial Ownership (Instr. 5)

(Instr. 4)

Date Exercisable

**Expiration Title** Date

Amount or Number of Shares

Security Direct (D) or Indirect (I) (Instr. 5)

## **Reporting Owners**

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer

Other

HARDCASTLE WILLIAM R JR 200 CRESCENT COURT

**SUITE 1200** DALLAS, TXÂ 75201 Â

Â

Chief Financial Officer Â

# **Signatures**

William R.

05/02/2014

Hardcastle, Jr.

\*\*Signature of Reporting

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).

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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