Habit Restaurants, Inc. Form 3 November 20, 2014

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

**OMB APPROVAL** 

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**SECURITIES** 

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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 \* Whitwell Peter

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

11/19/2014

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Habit Restaurants, Inc. [HABT]

4737 VIA CANADA

(Street)

4. Relationship of Reporting

Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

(Check all applicable)

10% Owner Director \_X\_\_ Officer Other (give title below) (specify below)

Chief Quality Officer

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting Person

Form filed by More than One

Reporting Person

**NEWBURY** PARK, CAÂ 91320

1. Title of Security

(City)

(Instr. 4)

(State)

(Zip)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership

Table I - Non-Derivative Securities Beneficially Owned

Form: (Instr. 5)

Direct (D) or Indirect (I)

4. Nature of Indirect Beneficial Ownership

(Instr. 5)

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)

Expiration Date Exercisable Date

Title

Amount or Number of Shares

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

1

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Common LLC units and Class B common stock

(1)

(2)

Class A Common 86,163 Stock

\$0

 $D_{\underline{(1)}}$   $\hat{A}$ 

## **Reporting Owners**

**Reporting Owner Name / Address** 

Relationships

Director 10% Owner Officer

Other

Whitwell Peter

4737 VIA CANADA NEWBURY PARK. CAÂ 91320 Â

Â Chief Quality Officer Â

**Signatures** 

By: /s/ Ira Fils, attorney-in-fact

11/19/2014

\*\*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).

Pursuant to the terms of the Amended & Restated LLC Agreement of The Habit Restaurants, LLC, Mr. Whitwell may exchange all or a portion of his vested common units (along with an equal number of his Class B Shares) at any time for shares of Class A common stock of the Issuer (or, at the Issuer's option, cash) on a one-for-one basis.

The common units do not expire and the reporting person is not required to pay an exercise price in connection with exchanges. The Class B common stock provides the holder with one vote on all matters submitted to a vote of the issuer's stockholders but does not entitle the holder to any of the economic rights associated with shares of the issuer's Class A common stock.

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## Remarks:

(3) Ira Fils is signing on behalf of Peter Whitwell pursuant to the Limited Power of Attorney da

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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