

ERDMAN WARREN K  
Form 4  
March 07, 2019

**FORM 4**

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

OMB APPROVAL

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**STATEMENT OF CHANGES IN 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 \*  
ERDMAN WARREN K

2. Issuer Name and Ticker or Trading Symbol  
KANSAS CITY SOUTHERN [KSU]

5. Relationship of Reporting Person(s) to Issuer  
(Check all applicable)

(Last) (First) (Middle)  
KANSAS CITY SOUTHERN, PO BOX 219335  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
03/05/2019

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Executive Vice President

KANSAS CITY, MO 64121-9335  
(City) (State) (Zip)

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

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 Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  | Code                           | V Amount (D) Price  |   |  |                                   |
| Common Stock                    | 03/05/2019                           |  | A                              | 1,092 A \$ 0  | 46,219  | D  |                                   |
| Common Stock                    |                                      |  |                                |   | 1,048.556   | I  | Held by 401(k) & P/S Plan         |

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

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SEC 1474 (9-02)

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**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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Amount or Number of Shares |                            |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|----------------------------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                         | Amount or Number of Shares |
| Employee Stock Option (Right to Buy)       | \$ 35.41   |                                      |  |                                |   | <u>(1)</u> 02/29/2020                                    | Common Stock  | 11,400                        |                            |
| Employee Stock Option (Right to Buy)       | \$ 52.62   |                                      |  |                                |   | <u>(2)</u> 02/22/2021                                    | Common Stock  | 4,980                         |                            |
| Employee Stock Option (Right to Buy)       | \$ 66.99   |                                      |  |                                |   | <u>(2)</u> 02/21/2022                                    | Common Stock  | 3,362                         |                            |
| Employee Stock Option (Right to Buy)       | \$ 97.77   |                                      |  |                                |   | <u>(2)</u> 02/20/2023                                    | Common Stock  | 2,620                         |                            |
| Employee Stock Option (Right to Buy)       | \$ 94.23   |                                      |  |                                |   | <u>(2)</u> 02/19/2024                                    | Common Stock  | 2,777                         |                            |
| Employee Stock Option (Right to Buy)       | \$ 119.35  |                                      |  |                                |   | <u>(2)</u> 02/17/2025                                    | Common Stock  | 2,668                         |                            |
| Employee Stock Option                      | \$ 82.71   |                                      |  |                                |   | <u>(2)</u> 02/18/2026                                    | Common Stock  | 5,233                         |                            |

|                                      |           |            |   |       |     |            |              |  |       |
|--------------------------------------|-----------|------------|---|-------|-----|------------|--------------|--|-------|
| (Right to Buy)                       |           |            |   |       |     |            |              |  |       |
| Employee Stock Option (Right to Buy) | \$ 86.89  |            |   |       | (2) | 02/16/2027 | Common Stock |  | 4,916 |
| Employee Stock Option (Right to Buy) | \$ 105.83 |            |   |       | (2) | 03/05/2028 | Common Stock |  | 4,219 |
| Employee Stock Option (Right to Buy) | \$ 110.13 | 03/05/2019 | A | 4,153 | (2) | 03/04/2029 | Common Stock |  | 4,153 |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                          |       |
|--|---------------|-----------|--------------------------|-------|
|  | Director      | 10% Owner | Officer                  | Other |
| ERDMAN WARREN K<br>KANSAS CITY SOUTHERN<br>PO BOX 219335<br>KANSAS CITY, MO 64121-9335 |               |           | Executive Vice President |       |

## Signatures

Julie D. Powell,  
Attorney-in-fact

03/07/2019

\_\_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).

- Prior to March 1, 2013, this option may become exercisable in 1/3 increments if the daily closing price of Kansas City Southern's common stock on the New York Stock Exchange is greater than or equal to \$38.95, \$42.85, and \$47.14, respectively, for at least 30 consecutive trading days. The first target was met and 3,800 of these options became exercisable on November 19, 2010. The second target was met and 3,800 of these options became exercisable on December 8, 2010. The third target was met and 3,800 of these options became exercisable on January 7, 2011.
- (2) These options become exercisable in three equal installments beginning on the first anniversary of the date of grant.

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