

HOME BANCSHARES INC  
Form 4  
November 10, 2016

**FORM 4**

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

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**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 \*  
TIPTON JOHN STEPHEN

2. Issuer Name and Ticker or Trading Symbol  
HOME BANCSHARES INC  
[HOMB]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
P.O. BOX 966  
(Street)  
CONWAY, AR 72033  
(City) (State) (Zip)

3. Date of Earliest Transaction (Month/Day/Year)  
11/09/2016

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

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 Indirect Beneficial Ownership (Instr. 4) |
|----------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| Common Stock                     | 11/09/2016                           |  | M                              | V Amount (A) or (D) Price \$ 14,000 A 6.56                        | 20,000 <sup>(1)</sup> <sup>(2)</sup>  | D  |   |
| Common Stock - Performance Based |                                      |  |                                |   | 10,000 <sup>(1)</sup> <sup>(2)</sup> <sup>(3)</sup> <sup>(4)</sup>                            | D  |   |
| Common Stock                     |                                      |  |                                |   | 13,676.473 <sup>(1)</sup> <sup>(5)</sup>  | I  | By 401(k)   |
| Common Stock - Restricted        |                                      |  |                                |   | 10,000 <sup>(1)</sup> <sup>(6)</sup>  | D  |   |



## Edgar Filing: HOME BANCSHARES INC - Form 4

The Performance Stock awarded on August 24, 2015 will vest in 33 1/3% installments over five years beginning on the third annual anniversary of the date that the performance goal is met. The performance goal will be met as of the end of the calendar quarter when the Company has averaged \$0.625 diluted earnings per share for four consecutive quarters or \$2.50 total diluted earnings per share over a period of four consecutive quarters.

- (4) The Performance Stock awarded on August 2, 2012 "cliff" vested on the third annual anniversary of the date that the performance goal is met. The performance goal was met on September 30, 2013 and therefore "cliff" vested 100% on September 30, 2016.
- (5) Includes 1,186.251 shares (split adjusted) acquired through the Home BancShares, Inc. 401(k) Plan since the reporting person's last filing.
- (6) Restricted Stock granted on August 24, 2015 will vest in 33 1/3% installments over five years beginning on the third anniversary of the award date.
- (7) The exercise price decreased as a result of the Company declaring a 2-for-1 stock split to shareholders of record May 18, 2016 and made payable June 8, 2016.
- (8) The option became exercisable in five equal annual installments beginning on January 20, 2013.

- Once the performance goal has been met, the Performance Stock Option awarded on August 24, 2015 will become exercisable in seven equal annual installments beginning on the first annual anniversary of the award date. The performance goal will be met as of the end of the calendar quarter when the Company has averaged \$0.625 diluted earnings per share for four consecutive quarters or \$2.50 total diluted earnings per share over a period of four consecutive quarters.
- (9)

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.