

Edgar Filing: Harold C. Simmons Family Trust No. 2 - Form 4

Harold C. Simmons Family Trust No. 2
Form 4
July 18, 2018

FORM 4

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Harold C. Simmons Family Trust
No. 2

2. Issuer Name **and** Ticker or Trading
Symbol
COMPX INTERNATIONAL INC
[CIX]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

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

____ Director ____X____ 10% Owner
____ Officer (give title below) ____ Other (specify below)

THREE LINCOLN CENTER, 5430
LBJ FREEWAY, SUITE 1700

07/17/2018

(Street)

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

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

DALLAS, TX 75240

(City) (State) (Zip)

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)
			Code	V	Amount	(A) or (D)	Price
Class A Common Stock, par value \$0.01 per share	07/17/2018		J ⁽¹⁾		10,000,000	A	10,755,104
Class A Common Stock, par value \$0.01 per					5,900	I	
							By NL ⁽²⁾
							By Contran ⁽³⁾

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share

Class A
Common
Stock, par
value
\$0.01 per
share

3,000

I

By
Kronos ⁽⁴⁾

Class A
Common
Stock, par
value
\$0.01 per
share

2,000

D ⁽⁵⁾

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

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SEC 1474
(9-02)

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. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repor Trans (Instr
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Harold C. Simmons Family Trust No. 2
THREE LINCOLN CENTER, 5430 LBJ FREEWAY
SUITE 1700
DALLAS, TX 75240

X

X

Simmons Lisa K
THREE LINCOLN CENTER, 5430 LBJ FREEWAY
SUITE 1700
DALLAS, TX 75240

CONNELLY SERENA S
THREE LINCOLN CENTER, 5430 LBJ FREEWAY
SUITE 1700
DALLAS, TX 75240

X

NL INDUSTRIES INC
5430 LBJ FREEWAY, SUITE 1700
DALLAS, TX 75240

X

Signatures

Andrew B. Nace, Attorney-in-fact, for Lisa K. Simmons, Co-Trustee of the Harold C. Simmons Family Trust No. 2

07/18/2018

__Signature of Reporting Person

Date

Andrew B. Nace, Attorney-in-fact, for Serena S. Connelly, Co-Trustee of the Harold C. Simmons Family Trust No. 2

07/18/2018

__Signature of Reporting Person

Date

Andrew B. Nace, Executive Vice President of NL Industries, Inc.

07/18/2018

__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).

- (1) On July 17, 2018, NL Industries, Inc. ("NL") converted all its 10,000,000 shares of class B common stock, par value \$0.01 per share (the "Class B Shares") of CompX International Inc. ("CompX") into 10,000,000 shares of class A common stock, par value \$0.01 per share, of CompX, for no additional consideration, pursuant to the terms of the Second Amended and Restated Certificate of Incorporation of CompX.
- (2) Directly held by NL. See Exhibit 99.1 to this statement for a description of the relationship of additional persons who may be deemed to beneficially own these shares.
- (3) Directly held by Contran Corporation. See Exhibit 99.1 to this statement for a description of the relationship of additional persons who may be deemed to beneficially own these shares.
- (4) Directly held by Kronos Worldwide, Inc. See Exhibit 99.1 to this statement for a description of the relationship of additional persons who may be deemed to beneficially own these shares.
- (5) Directly held by Serena Simmons Connelly.

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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