

TRI Pointe Homes, Inc.  
Form 3  
July 17, 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 Person \*

Â Shapiro Alan Edward  
(Last) (First) (Middle)

C/O TRI POINTE HOMES,  
INC.,Â 19520 JAMBOREE  
ROAD, SUITE 200

(Street)

IRVINE,Â CAÂ 92612

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)  
07/07/2014

3. Issuer Name **and** Ticker or Trading Symbol  
TRI Pointe Homes, Inc. [TPH]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

\_\_\_ Director \_\_\_ 10% Owner  
\_\_X\_\_ Officer \_\_\_ Other  
(give title below) (specify below)  
President of Winchester Homes

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

### Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security  
(Instr. 4)

2. Amount of Securities Beneficially Owned  
(Instr. 4)

3. Ownership Form:  
Direct (D)  
or Indirect (I)  
(Instr. 5)

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

Common Stock

29,610

D Â

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)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	Â <u>(1)</u>	02/16/2015	Common Stock	11,767	\$ 11.33	D	Â
Stock Option (Right to Buy)	Â <u>(2)</u>	02/15/2016	Common Stock	16,809	\$ 12.45	D	Â
Stock Option (Right to Buy)	Â <u>(3)</u>	02/14/2017	Common Stock	16,807	\$ 14.4	D	Â
Stock Option (Right to Buy)	Â <u>(4)</u>	02/20/2018	Common Stock	17,647	\$ 11.16	D	Â
Stock Option (Right to Buy)	Â <u>(5)</u>	02/15/2019	Common Stock	9,662	\$ 4.51	D	Â
Stock Option (Right to Buy)	Â <u>(6)</u>	02/10/2020	Common Stock	31,042	\$ 7.01	D	Â
Stock Option (Right to Buy)	Â <u>(7)</u>	02/09/2021	Common Stock	26,384	\$ 11.45	D	Â
Stock Option (Right to Buy)	Â <u>(8)</u>	02/08/2022	Common Stock	41,159	\$ 9.67	D	Â
Stock Option (Right to Buy)	Â <u>(9)</u>	02/13/2023	Common Stock	30,605	\$ 14.47	D	Â
Stock Option (Right to Buy)	Â <u>(10)</u>	02/12/2024	Common Stock	40,103	\$ 14.29	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
Shapiro Alan Edward C/O TRI POINTE HOMES, INC. 19520 JAMBOREE ROAD, SUITE 200 IRVINE, CA 92612	Â	Â	Â President of Winchester Homes		Â

## Signatures

Michael D. Grubbs,  
attorney-in-fact

07/17/2014

\_\_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).
- (1) Stock options vest ratably over four years.
- (2) Stock options vest ratably over four years.

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- (3) Stock options vest ratably over four years.
- (4) Stock options vest ratably over four years.
- (5) Stock options vest ratably over four years.
- (6) Stock options vest ratably over four years.
- (7) Stock options vest ratably over four years.
- (8) Stock options vest ratably over four years.
- (9) Stock options vest ratably over four years.
- (10) Stock options vest ratably over four years.

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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