Edgar Filing: PNM RESOURCES INC - Form 4

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FORM 4 Check this box is the longer subject to Section 16. Form 4 or Form 5 obligation. OMB APPROVAL Washington, D.C. 20549 OMB Number: Section 200 Section 16. Form 4 or Form 5 obligation. OMB APPROVAL Subject to Section 16. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1935 or Section 10. OMB APPROVAL Subject to 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 Subject to 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 Subject to Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 10(b). OMB Address of Reporting Person 1 Subject to Section 17(a) of the Public Utility Holding Company Act of 1940 OMB Address of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person 1 SCHWANZ DONALD K 3. Date of Earliest Transaction (Month/Day/Year) Check all applicable	Form 4												
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Check this box Washington, D. C. 20549 OMB 3235-028 Subject to STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to SECURITIES Expires: January 31 Section 16. SECURITIES Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Section 17(a) of the Public Utility Holding Company Act of 1936 Sec Instruction 30(h) of the Investment Company Act of 1940 I. Name and Address of Reporting Person 1 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year)	FORM /										OMB APPROVAL		
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(15/(19/2))/4 M $(15)/(16/(83))$ D					Code V	Amount	or	Price	Transaction(s)				
		05/09/2014			М	950	А	<u>(1)</u>	16,783	D			

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

 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. 5. TransactionNumber Code of (Instr. 8) Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)				7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price o Derivativ Security (Instr. 5)
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Options	<u>(2)</u>					(3)	(4)	Common Stock	2,000	
Restricted Stock Rights	<u>(5)</u>					(6)	(6)	Common Stock	5,097	

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Reporting Owners

Reporting Owner Name / Address	Relationships							
	Director	10% Owner	Officer	Other				
SCHWANZ DONALD K 9964 E. SIENNA HILLS DRIVE SCOTTSDALE, AZ 85262	X							
Signatures								
Jim S. Acosta, POA for Donald K. Schwanz	05/12/2014							
<u>**</u> Signature of Reporting Person		Dat	e					
Explanation of Besponses:								

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) Represents the portion of a previous award of restricted stock rights that vested effective as of the applicable vesting date.
- (2) Based on the closing price on the date of the grant.
- (3) The options vest in three equal annual installments from grant date.
- (4) The options expire 10 years from grant date.
- (5) Each restricted stock right represents a contingent right to receive one share of PNM Resources, Inc. common stock.

The restricted stock units vest in three equal annual installments from grant date. Vested shares will be delivered to the reporting person (6) on the applicable vesting dates (or, if the company is in a blackout period under its insider trading policy on any vesting date, at a later

date after such blackout period ends).

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.