Eldred Charles N Form 4/A April 02, 2018

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB

3235-0287 Number: January 31,

2005

0.5

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Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations

may continue.

See Instruction

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

1(b).

(City)

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Eldred Charles N Issuer Symbol PNM RESOURCES INC [PNM] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction

(Month/Day/Year)

03/07/2018

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

EXEC VP, CFO

6. Individual or Joint/Group Filing(Check

CORPORATE HEADQUARTERS MS1275

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person 03/09/2018

(Zip)

Form filed by More than One Reporting Person

ALBUQUERQUE, NM 87158-1275 (State)

1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities Form: Direct Indirect (Instr. 3) Code Disposed of (D) Beneficially (D) or Indirect Beneficial (Instr. 3, 4 and 5) Ownership (Month/Day/Year) (Instr. 8) Owned (I) Following (Instr. 4) (Instr. 4)

Reported (A) Transaction(s) (Instr. 3 and 4)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Code V Amount (D) Price

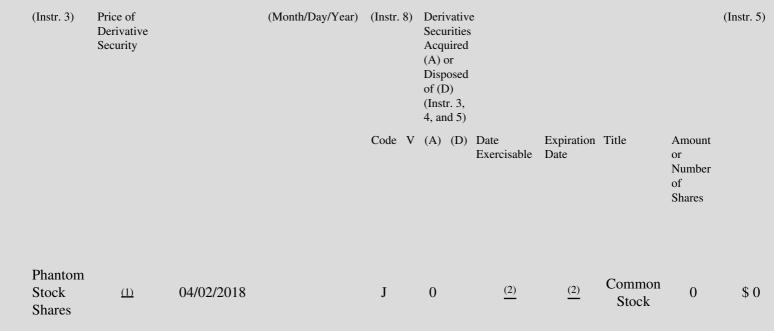
Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exercisable and	7. Title and Amount of	8. Price of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orNumber	Expiration Date	Underlying Securities	Derivative
Security	or Exercise		any	Code	of	(Month/Day/Year)	(Instr. 3 and 4)	Security

#### Edgar Filing: Eldred Charles N - Form 4/A



# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Eldred Charles N

CORPORATE HEADQUARTERS MS1275 ALBUQUERQUE, NM 87158-1275

EXEC VP, CFO

### **Signatures**

/s/ Laurie S. Monfiletto, POA for Charles N. Eldred

04/02/2018

\*\*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) The security converts to common stock on a one-for-one basis.
- (2) The phantom stock shares were acquired under the PNM Resources, Inc. Executive Savings Plan ("ESP") and will settle upon the Reporting Person's retirement or other termination of service.

Total represents phantom stock shares of PNM Resources, Inc. ("PNMR") Common Stock held as of February 28, 2018 under the PNMR (3) Executive Savings Plan II, the successor plan by merger to the ESP. The amendment to the Form 4 filed on March 9, 2018 is being filed to correct the number of phantom shares reported previously, which was reported incorrectly due to an administrative error.

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.

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