TWO HARBORS INVESTMENT CORP.

Form 144 May 13, 2015

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

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NO.

**FORM 144** 

NOTICE OF PROPOSED SALE OF SECURITIES

PURSUANT TO RULE 144 UNDER THE SECURITIES ACT OF 1933

CUSIP NUMBER

ATTENTION: Transmit for filing 3 copies of this form concurrently with either placing an order with a broker to execute sale or executing a sale directly with a market maker.

1 (a) NAME OF ISSUER (Please type or print)

(b) IRS IDENT. NO.

(c) S.E.C. FILE NO.

WORK LOCATION

27-0312904

001-34506

Two Harbors Investment Corp. ADDRESS OF 1 (d)

STREET

CITY

STATE ZIP CODE (e) TELEPHONE NO. **AREA** 

**ISSUER** 

Brad Farrell

Officer

10022

590 Madison Avenue, 36th Floor

New York

CITY

NUMBER

NY

CODE 629-2500 612

NAME OF PERSON FOR

(b)RELATIONSHIP

(c)ADDRESS STREET

STATE

WHOSE ACCOUNT THE

ZIP CODE

2 (a)

TO ISSUER

590 Madison Avenue, 36th Floor

New York NY

10022

SECURITIES ARE TO BE SOLD

INSTRUCTION: The person filing this notice should contact the issuer to obtain the I.R.S. Identification Number and the S.E.C. File Number.

3 (a)  Title of the Class of Securitie	of Each Broker ON Through Whom the Broker Securities are to be File N Offered or Each		Number of (a) Shares or Other Units To Be Sold	Aggregate Market Value	Number of Shares	(f) Approximate Date of Sale (See instr. 3(f))	Name or
To Be	is Acquiring the		(See instr.	(See instr.	(See instr.	(MO. DAY	(See instr.
Sold Common Stock	Securities Walls Forge Securities	17,01	3(c))	3(d)) 177,838 as of	<i>3(e))</i> 366,576,359 at	YR.) 5/13/2015	<i>3(g))</i> NYSE
Common Stock	Wells Fargo Securities 375 Park Avenue	17,01	5,0	/11/2015 based n \$10.45 closing rice on NYSE	5/7/2015	3/13/2013	NISE
	New York, NY 10152						
Common Stock	TD Ameritrade	20,95		218,938 as of /11/2015 based	,	5/13/2015	NYSE
	200 South 108th Avenue			n \$10.45 closing rice on NYSE			
	Omaha, NE 68154						
Common Stock	TD Ameritrade	2,031		21,224 as of /11/2015 based	/ /	5/13/2015	NYSE
	200 South 108th Avenue			n \$10.45 closing rice on NYSE			
	Omaha, NE 68154						

**INSTRUCTIONS:** 

- 1.(a) Name of issuer
- (b) Issuer s I.R.S. Identification Number
- (c) Issuer s S.E.C. file number, if any
- (d) Issuer s address, including zip code
- (e) Issuer s telephone number, including area code
- 2.(a) Name of person for whose account the securities are to be sold
  - (b) Such person s relationship to the issuer (e.g., officer, director, 10% stockholder, or member of immediate family of any of the foregoing)
- (c) Such person s address, including zip code

- 3.(a) Title of the class of securities to be sold
  - (b) Name and address of each broker through whom the securities are intended to be sold
  - (c) Number of shares or other units to be sold (if debt securities, give the aggregate face amount)
  - (d) Aggregate market value of the securities to be sold as of a specified date within 10 days prior to the filing of this notice
  - (e) Number of shares or other units of the class outstanding, or if debt securities the face amount thereof outstanding, as shown by the most recent report or statement published by the issuer
  - (f) Approximate date on which the securities are to be sold
  - (g) Name of each securities exchange, if any, on which the securities are intended to be sold

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 control number.

SEC 1147 (08-07)

#### TABLE I SECURITIES TO BE SOLD

Furnish the following information with respect to the acquisition of the securities to be sold and with respect to the payment of all or any part of the purchase price or other consideration therefor:

Title of the Class	Date you Acquired	Nature of Acquisition Transaction	Name of Person from Whom Acquired (If gift, also give date donor acquired)	Amount of Securities Acquired	Date of Payment	Nature of Payment
Common Stock	5/29/2013	Restricted Stock Award, granted pursuant to Issuer's 2009 Restated Equity Incentive Plan	•	17,018	n/a	n/a
Common Stock	2/5/2014	Restricted Stock Award, granted pursuant to Issuer's Restated 2009 Equity Incentive Plan	•	20,951	n/a	n/a
Common Stock	2/14/2012	Acquired in open market	n/a	2,031	2/14/2012	cash

INSTRUCTIONS: If the securities were purchased and full payment therefor was not

> made in cash at the time of purchase, explain in the table or in a note thereto the nature of the consideration given. If the consideration consisted of any note or other obligation, or if payment was made in installments describe the arrangement and state when the note or other obligation was discharged in full or

the last installment paid.

#### SECURITIES SOLD DURING THE PAST 3 MONTHS **TABLE II**

Furnish the following information as to all securities of the issuer sold during the past 3 months by the person for whose account the securities are to be sold.

			Amount of	
Name and Address of Seller	Title of Securities Sold	Date of Sale	Securities Sold	<b>Gross Proceeds</b>

**REMARKS:** The reporting person anticipates selling the shares for the purpose of satisfying income tax liabilities incurred upon vesting of the restricted stock award.

## **INSTRUCTIONS:**

See the definition of person in paragraph (a) of Rule 144. Information The person for whose account the securities to which this notice is to be given not only as to the person for whose account the securities are to be sold but also as to all other persons included in that definition. In addition, information shall be given as to sales by all persons whose sales are required by paragraph (e) of Rule 144 to be aggregated with sales for the account of the person filing this notice.

### ATTENTION:

relates are to be sold hereby represents by signing this notice that he does not know any material adverse information in regard to the current and prospective operations of the Issuer of the securities to be sold which has not been publicly disclosed. If such person has adopted a written trading plan or given trading instructions to satisfy Rule 10b5-1 under the Exchange Act, by signing the form and indicating the date that the plan was adopted or the instruction given, that person makes such representation as of the plan adoption or instruction date.

5/13/2015 /s/ Brad Farrell

DATE OF NOTICE (SIGNATURE)

DATE OF PLAN ADOPTION OR GIVING OF INSTRUCTION, IF RELYING ON RULE 10B5-1

The notice shall be signed by the person for whose account the securities are to be sold. At least one copy of the notice shall be manually signed. Any copies not manually signed shall bear typed or printed signatures.

ATTENTION: Intentional misstatements or omission of facts constitute Federal Criminal Violations (See 18 U.S.C. 1001)

SEC 1147 (02-08)