

AMERICAN EQUITY INVESTMENT LIFE HOLDING CO

Form 4

July 03, 2014

**FORM 4**

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Neugent Gerard D.

2. Issuer Name and Ticker or Trading Symbol  
AMERICAN EQUITY INVESTMENT LIFE HOLDING CO [AEL]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

(Last) (First) (Middle)

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

6000 WESTOWN PARKWAY

07/02/2014

(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  
 Form filed by More than One Reporting Person

WEST DES MOINES, IA 50266

(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 Ownership (Instr. 4) |        |                  |  |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|--------|------------------|--|
|                                 |                                      |  | Code                           | V   | Amount or Price   |  |                                   |        |                  |  |
| Common Stock                    | 07/02/2014                           |  | S                              |   | 100   | D  | \$ 24.58                          | 60,203 | I <sup>(1)</sup> | Shares are owned by a trust to which Mr. Neugent is Trustee. |
| Common Stock                    | 07/02/2014                           |  | S                              |   | 200   | D  | \$ 24.59                          | 60,003 | I <sup>(1)</sup> | Shares are owned by a trust to which Mr. Neugent is          |

|              |            |   |       |   |          |        |              |  |
|--------------|------------|---|-------|---|----------|--------|--------------|--|
| Common Stock | 07/02/2014 | S | 100   | D | \$ 24.61 | 59,903 | I <u>(1)</u> | Trustee.<br>Shares are owned by a trust to which Mr. Neugent is Trustee. |
| Common Stock | 07/02/2014 | S | 200   | D | \$ 24.62 | 59,703 | I <u>(1)</u> | Shares are owned by a trust to which Mr. Neugent is Trustee.             |
| Common Stock | 07/02/2014 | S | 600   | D | \$ 24.63 | 59,103 | I <u>(1)</u> | Shares are owned by a trust to which Mr. Neugent is Trustee.             |
| Common Stock | 07/02/2014 | S | 1,137 | D | \$ 24.64 | 57,966 | I <u>(1)</u> | Shares are owned by a trust to which Mr. Neugent is Trustee.             |
| Common Stock | 07/02/2014 | S | 1,156 | D | \$ 24.65 | 56,810 | I <u>(1)</u> | Shares are owned by a trust to which Mr. Neugent is Trustee.             |
| Common Stock | 07/02/2014 | S | 805   | D | \$ 24.66 | 56,005 | I <u>(1)</u> | Shares are owned by a trust to which Mr. Neugent is Trustee.             |
| Common Stock | 07/02/2014 | S | 1,000 | D | \$ 24.67 | 55,005 | I <u>(1)</u> | Shares are owned by a trust to which Mr. Neugent is Trustee.             |
| Common Stock | 07/02/2014 | S | 1,200 | D | \$ 24.68 | 53,805 | I <u>(1)</u> | Shares are owned by a trust to which Mr.                                 |

|              |            |   |       |   |          |        |              |   |
|--------------|------------|---|-------|---|----------|--------|--------------|---|
| Common Stock | 07/02/2014 | S | 1,400 | D | \$ 24.69 | 52,405 | I <u>(1)</u> | Neugent is Trustee.<br>Shares are owned by a trust to which Mr. Neugent is Trustee. |
| Common Stock | 07/02/2014 | S | 500   | D | \$ 24.7  | 51,905 | I <u>(1)</u> | Shares are owned by a trust to which Mr. Neugent is Trustee.                        |
| Common Stock | 07/02/2014 | S | 100   | D | \$ 24.74 | 51,805 | I <u>(1)</u> | Shares are owned by a trust to which Mr. Neugent is Trustee.                        |
| Common Stock | 07/02/2014 | S | 100   | D | \$ 24.78 | 51,705 | I <u>(1)</u> | Shares are owned by a trust to which Mr. Neugent is Trustee.                        |
| Common Stock | 07/02/2014 | S | 402   | D | \$ 24.8  | 51,303 | I <u>(1)</u> | Shares are owned by a trust to which Mr. Neugent is Trustee.                        |
| Common Stock | 07/02/2014 | S | 500   | D | \$ 24.81 | 50,803 | I <u>(1)</u> | Shares are owned by a trust to which Mr. Neugent is Trustee.                        |
| Common Stock | 07/02/2014 | S | 400   | D | \$ 24.82 | 50,403 | I <u>(1)</u> | Shares are owned by a trust to which Mr. Neugent is Trustee.                        |
| Common Stock | 07/02/2014 | S | 100   | D | \$ 24.83 | 50,303 | I <u>(1)</u> | Shares are owned by a trust to  |

which Mr. Neugent is Trustee.

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 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. Number of Derivative Securities Beneficially Owned Following Transaction (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
|  |  |                                      |  | 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 |
| Neugent Gerard D.<br>6000 WESTOWN PARKWAY<br>WEST DES MOINES, IA 50266 |               | X         |         |       |

## Signatures

Debra J. Richardson, by Power of Attorney  
Date: 07/03/2014

\_\_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) These shares are owned by a trust to which Mr. Neugent is a trustee.

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.