

CASEY MICHAEL DENNIS

Form 4

November 06, 2018

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

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

## OMB APPROVAL

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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
CASEY MICHAEL DENNIS

(Last) (First) (Middle)

3438 PEACHTREE ROAD  
NE, SUITE 1800

(Street)

ATLANTA, GA 30326

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
CARTERS INC [CRI]

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/05/2018

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

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

Chairman and CEO

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 Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5)    | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
| Common<br>Stock                       | 11/05/2018                              |                                                             | M                                    | (A)<br>or<br>(D)<br>Amount<br>25,000<br>(1)<br>Price<br>\$<br>18.14        | 399,397 (2)                                                                                                        | D                                                                    |                                                                   |
| Common<br>Stock                       | 11/05/2018                              |                                                             | S                                    | (A)<br>or<br>(D)<br>Amount<br>9,900<br>(1)<br>Price<br>\$<br>94.79<br>(3)  | 389,497 (2)                                                                                                        | D                                                                    |                                                                   |
| Common<br>Stock                       | 11/05/2018                              |                                                             | S                                    | (A)<br>or<br>(D)<br>Amount<br>13,500<br>(1)<br>Price<br>\$<br>95.44<br>(4) | 375,997 (2)                                                                                                        | D                                                                    |                                                                   |
| Common<br>Stock                       | 11/05/2018                              |                                                             | S                                    | (A)<br>or<br>(D)<br>Amount<br>1,600<br>(1)<br>Price<br>\$<br>96.63<br>(5)  | 374,397 (2)                                                                                                        | D                                                                    |                                                                   |

# Edgar Filing: CASEY MICHAEL DENNIS - Form 4

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.**

SEC 1474  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)   | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |            | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |                    |                 |                                     |
|-------------------------------------------------------|--------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|------------|---------------------------------------------------------------------|--------------------|-----------------|-------------------------------------|
|                                                       |                                                                    |                                         |                                                             | Code                                 | V                                                                                                            | (A)                                                            | (D)        | Date<br>Exercisable                                                 | Expiration<br>Date | Title           | Amount<br>or<br>Number<br>of Shares |
| Employee<br>Stock<br>Option<br>(Right to<br>Purchase) | \$ 18.14                                                           | 11/05/2018                              |                                                             | M                                    |                                                                                                              | 25,000                                                         | <u>(1)</u> | 03/12/2010                                                          | 03/12/2019         | Common<br>Stock | 25,000<br><u>(6)</u>                |

## Reporting Owners

| Reporting Owner Name / Address                                                    | Relationships                                            |
|-----------------------------------------------------------------------------------|----------------------------------------------------------|
| CASEY MICHAEL DENNIS<br>3438 PEACHTREE ROAD NE<br>SUITE 1800<br>ATLANTA, GA 30326 | Director 10% Owner Officer Other<br><br>Chairman and CEO |

## Signatures

/s/Michael C. Wu,  
Attorney-in-Fact 11/06/2018

\_\_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 transactions reported in this Form 4 were effectuated pursuant to a Rule 10b5-1 trading plan entered into on April 30, 2018.

(2) Some of these shares are restricted shares that are subject to either time-vesting or performance-based restrictions.

This is a weighted average price. The shares were sold in multiple trade executions at prices ranging from \$94.15 to \$95.14, inclusive.

(3) Upon request by the Commission staff, the Issuer, or a security holder of the Issuer, the Reporting Person will provide full information regarding the number of shares sold at each separate price.

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This is a weighted average price. The shares were sold in multiple trade executions at prices ranging from \$95.15 to \$96.07, inclusive.

- (4) Upon request by the Commission staff, the Issuer, or a security holder of the Issuer, the Reporting Person will provide full information regarding the number of shares sold at each separate price.

This is a weighted average price. The shares were sold in multiple trade executions at prices ranging from \$96.20 to \$97.09, inclusive.

- (5) Upon request by the Commission staff, the Issuer, or a security holder of the Issuer, the Reporting Person will provide full information regarding the number of shares sold at each separate price.

- (6) All of these options are exercisable.

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.