### LEBOVITZ STEPHEN D

Form 5/A March 21, 2019

FORM 5

#### **OMB APPROVAL**

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

Number: Expires:

**OMB** 

3235-0362 January 31,

2005

1.0

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

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL

Estimated average

OWNERSHIP OF SECURITIES

burden hours per response...

5 obligations may continue. See Instruction 1(b).

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Form 3 Holdings Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

Reported Form 4

30(h) of the Investment Company Act of 1940

Transactions

Reported

1. Name and Address of Reporting Person \* LEBOVITZ STEPHEN D

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

**CBL & ASSOCIATES** PROPERTIES INC [CBL]

(Check all applicable)

(Last)

(First)

(Middle)

3. Statement for Issuer's Fiscal Year Ended

\_X\_ Director \_X\_ Officer (give title)

10% Owner Other (specify

(Month/Day/Year)

below)

below)

12/31/2018

2030 HAMILTON PLACE BLVD., **SUITE 500** 

(Street)

4. If Amendment, Date Original

6. Individual or Joint/Group Reporting

Filed(Month/Day/Year)

02/14/2019

(check applicable line)

**CEO** 

### CHATTANOOGA, TNÂ 374216000

\_X\_ Form Filed by One Reporting Person Form Filed by More than One Reporting

| (City)                               | (State)                              | (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |   |   |        |      |  |  |   |  |
|--------------------------------------|--------------------------------------|--|---|---|--------|------|--|--|---|--|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year)                            | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securit (A) or Dis (D) (Instr. 3, 4) | sposed | l of | 5. Amount of<br>Securities<br>Beneficially<br>Owned at end of<br>Issuer's Fiscal<br>Year<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
| Common<br>Stock                      | 01/10/2017                           | Â  | J4                                      | 3,129                                   | A      | \$ 0 | 31,818 (1)   | I (2)  | By Trust  |  |
| Common<br>Stock                      | 04/09/2018                           | Â  | J4                                      | 16,306                                  | A      | \$ 0 | 31,818 (3)   | I (2)  | By Trust  |  |
| Common<br>Stock                      | 04/12/2018                           | Â  | J4                                      | 2,000                                   | A      | \$ 0 | 31,818 (3)   | I (2)  | By Trust  |  |
| Common<br>Stock                      | Â                                    | Â  | Â                                       | Â                                       | Â      | Â    | 1,150  | I (2)  | By<br>Spouse  |  |

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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 2270 (9-02)

> of D

# 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.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5.<br>Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) |                     | ate                | Amor<br>Unde<br>Secur | le and<br>unt of<br>rrlying<br>rities<br>: 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) |
|---|---|---|---|---|---------------------|--------------------|-----------------------|---|---|
|   |   |   |   | (A) (D)   | Date<br>Exercisable | Expiration<br>Date | Title                 | Amount<br>or<br>Number<br>of<br>Shares              |   |

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

LEBOVITZ STEPHEN D

2030 HAMILTON PLACE BLVD., SUITE 500 Â X Â Â CEO Â

CHATTANOOGA, TNÂ 374216000

## **Signatures**

/s/ Jeffery V. Curry, attorney-in-fact for Stephen D. Lebovitz

03/20/2019

\*\*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).
- The shares were transferred from one trust for the benefit of the Reporting Person's daughter, with the daughter's grandfather serving as Trustee, into a Trust for the benefit of the Reporting Person's daughter, with the Reporting Person serving as Trustee of such Trust.
- (2) The Reporting Person disclaims beneficial ownership of the reported securities except to the extent of his pecuniary interest therein.
- (3) The Reporting Person's adult son deposited shares which the son owned into a Trust for the benefit of himself (the adult son), with the Reporting Person serving as Trustee of such Trust.

Additionally, the Reporting Person owns a limited partnership interest in CBL & Associates Limited Partnership, a Delaware limited (4) partnership, that may be exchanged at any time for an aggregate of 480,297 shares of the Issuer's Common Stock (on a one-for-one basis) or cash, at the Issuer's election.

Reporting Owners 2

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Note: File three copies of this Form, one of which must be manually signed. If space provided 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.