

HAVERTY MICHAEL R
Form 4
October 23, 2012

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
HAVERTY MICHAEL R

(Last) (First) (Middle)

KANSAS CITY SOUTHERN, PO BOX 219335

(Street)

KANSAS CITY, MO 64121-9335

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

KANSAS CITY SOUTHERN [KSU]

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

10/22/2012

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)
Executive Chairman

6. Individual or Joint/Group Filing(Check Applicable Line)
 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 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 Indirect Ownership (Instr. 4)
				(A) or (D) Code V Amount Price			
Common Stock	10/22/2012		M	21,411 A \$ 12.55	709,441 ⁽¹⁾	D	
Common Stock	10/22/2012		M	5,000 A \$ 14.6	714,441 ⁽¹⁾	D	
Common Stock	10/22/2012		F	13,904 ⁽²⁾ D \$ 79.45	700,537 ⁽¹⁾	D	
Common Stock					51,100.06	I	Held by 401(k) and P/S Plan

Edgar Filing: HAVERTY MICHAEL R - 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 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 Security (Instr. 3 and 4)	Amount or Number of Shares
Employee Stock Option (Right to Buy) ⁽⁴⁾	\$ 12.55	10/22/2012		M ⁽³⁾	15,901	01/16/2003 01/15/2013	Common Stock	15,901
LSAR ⁽⁴⁾	\$ 12.55	10/22/2012		J ⁽³⁾	15,901	⁽⁴⁾ ⁽⁴⁾	Common Stock	15,901
Employee Stock Option (Right to Buy) ⁽⁴⁾	\$ 12.55	10/22/2012		M ⁽³⁾	5,510	01/16/2008 01/15/2013	Common Stock	5,510
LSAR ⁽⁴⁾	\$ 12.55	10/22/2012		J ⁽³⁾	5,510	⁽⁴⁾ ⁽⁴⁾	Common Stock	5,510
Employee Stock Option (Right to Buy) ⁽⁴⁾	\$ 14.6	10/22/2012		M ⁽³⁾	5,000	01/02/2005 01/01/2014	Common Stock	5,000
LSAR ⁽⁴⁾	\$ 14.6	10/22/2012		J ⁽³⁾	5,000	⁽⁴⁾ ⁽⁴⁾	Common Stock	5,000
Employee Stock Option (Right to Buy) ⁽⁴⁾	\$ 14.53					02/09/2004 02/08/2014	Common Stock	13,600
LSAR ⁽⁴⁾	\$ 14.53					⁽⁴⁾ ⁽⁴⁾		13,600

Edgar Filing: HAVERTY MICHAEL R - Form 4

target was met and 16,400 of these options became exercisable on December 8, 2010. The third target was met and 16,400 of these options became exercisable on January 7, 2011.

(6) These options become exercisable in three equal installments beginning on the first anniversary of the date of grant.

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.