

LORBERBAUM JEFFREY S

Form 4

May 22, 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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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
LORBERBAUM JEFFREY S

2. Issuer Name **and** Ticker or Trading  
Symbol  
MOHAWK INDUSTRIES INC  
[MHK]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)

MOHAWK INDUSTRIES INC, P O  
BOX 12069

3. Date of Earliest Transaction  
(Month/Day/Year)  
05/07/2018

☐ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify below)  
Chairman and CEO

(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

CALHOUN, GA 30703

(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<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>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) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|---------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
|                                       |                                         |                                                             | Code                                 | V                                                                   | Amount                                                                                                             | (A)<br>or<br>(D)                                                     | Price                                                             |
| Common<br>Stock                       |                                         |                                                             |                                      |                                                                     | 8,293,785                                                                                                          | I                                                                    | Aladdin<br>Partners                                               |
| Common<br>Stock                       |                                         |                                                             |                                      |                                                                     | 420,668                                                                                                            | I                                                                    | Dalton<br>Fund                                                    |
| Common<br>Stock                       |                                         |                                                             |                                      |                                                                     | 439,140                                                                                                            | I                                                                    | Dalton<br>Partners                                                |
| Common<br>Stock                       |                                         |                                                             |                                      |                                                                     | 45,187                                                                                                             | D                                                                    |                                                                   |
| Common<br>Stock                       |                                         |                                                             |                                      |                                                                     | 315,002                                                                                                            | I                                                                    | PAS Trust                                                         |

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|              |            |  |                  |   |         |   |            |         |                 |                 |
|--------------|------------|--|------------------|---|---------|---|------------|---------|-----------------|-----------------|
| Common Stock |            |  |                  |   |         |   | 194        | I       | Managed Account |                 |
| Common Stock | 05/07/2018 |  | G <sup>(1)</sup> | V | 420,668 | A | <u>(1)</u> | 420,668 | I               | See FN 1<br>(1) |
| Common Stock | 05/07/2018 |  | J <sup>(1)</sup> |   | 420,668 | D | <u>(1)</u> | 420,668 | I               | See FN 1<br>(1) |
| Common Stock | 05/07/2018 |  | J <sup>(1)</sup> |   | 420,668 | A | <u>(1)</u> | 420,668 | I               | See FN 1<br>(1) |
| Common Stock | 05/07/2018 |  | G <sup>(1)</sup> |   | 420,668 | D | <u>(1)</u> | 420,668 | I               | See FN 1<br>(1) |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and<br>Amount of<br>Underlying<br>Securities<br>(Instr. 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number<br>of<br>Derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Report<br>Trans<br>(Instr. |
|-----------------------------------------------------|--------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------|-----------------------------------------------------------------------------------------------------------------|
|                                                     |                                                                    |                                         |                                                             | Code                                 | V (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 |
| LORBERBAUM JEFFREY S<br>MOHAWK INDUSTRIES INC<br>P O BOX 12069<br>CALHOUN, GA 30703 | X             | X         | Chairman and CEO |       |

## Signatures

/s/Christi Scarbro, Attorney-in-Fact for Jeffrey S.  
Lorberbaum

05/22/2018

\_\_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) Reflects an exchange of the reporting person's 99.8% LP interest in Dalton Fund LP to the Lorberbaum Trust (the "Legacy Trust") for a promissory note from the Legacy Trust and a gift of the reporting person's 0.1% interest in Dalton Fund LP to the Legacy Trust, in each case for estate planning purposes. Both entities are controlled by the reporting person. Following this transaction, Dalton Fund LP continued to hold 420,668 issuer shares, which are indirectly beneficially owned by the reporting person due to his investment control over such shares. The reporting person disclaims beneficial ownership of the shares held by Dalton Fund LP except to the extent of his individual pecuniary interest in such shares.

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.