Edgar Filing: ANWORTH MORTGAGE ASSET CORP - Form 5

ANWORTH MORTGAGE ASSET CORP

Form 5

Stock

Stock

Common

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January 26, 2009

OMB APPROVAL FORM 5 **OMB** UNITED STATES SECURITIES AND EXCHANGE COMMISSION 3235-0362 Number: Washington, D.C. 20549 Check this box if January 31, Expires: no longer subject 2005 to Section 16. Estimated average ANNUAL STATEMENT OF CHANGES IN BENEFICIAL Form 4 or Form burden hours per 5 obligations OWNERSHIP OF SECURITIES response... 1.0 may continue. See Instruction Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, 1(b). Form 3 Holdings Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Reported 30(h) of the Investment Company Act of 1940 Form 4 Transactions Reported 1. Name and Address of Reporting Person * 2. Issuer Name and Ticker or Trading 5. Relationship of Reporting Person(s) to Issuer MCADAMS JOSEPH LLOYD Symbol ANWORTH MORTGAGE ASSET (Check all applicable) CORP [ANH] (Middle) 3. Statement for Issuer's Fiscal Year Ended (Last) (First) _X_ Director 10% Owner Other (specify _X__ Officer (give title (Month/Day/Year) below) below) 12/31/2008 Chairman, President & CEO C/O ANWORTH MORTGAGE ASSET CORPORATION, Â 1299 OCEAN AVENUE, SECOND **FLOOR** (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Reporting Filed(Month/Day/Year) (check applicable line) SANTA MONICA. CAÂ 90401 _X_ Form Filed by One Reporting Person Form Filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction (A) or Disposed of Securities Ownership Indirect (Instr. 3) Code Beneficially Form: Beneficial (Month/Day/Year) (Instr. 3, 4 and 5) Owned at end Direct (D) Ownership (Instr. 8) of Issuer's or Indirect (Instr. 4) Fiscal Year (I) (A) (Instr. 3 and (Instr. 4) or Amount (D) Price Common 12/31/2008(1) Â $J_{\underline{1}}$ 10,088 \$ (1) $925,016 \stackrel{(2)}{=} D$ Â A Stock Common Â Â Â Â Â Â 41,500 (3) I By spouse

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 $33,700 \frac{(4)}{}$

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McAdams

Foundation

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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)

$\label{thm:convergence} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (e.g., puts, calls, warrants, options, convertible securities) \end{tabular}$

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (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) | |
|---|---|---|---|---|---|-----|--|--------------------|---|-------------------------------------|
| | | | | | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Stock Option (right to buy) | \$ 9.45 | Â | Â | Â | Â | Â | 01/21/2002 | 01/21/2012 | Common Stock | 29,725 |
| Stock Option (right to buy) | \$ 11.2 | Â | Â | Â | Â | Â | 10/04/2002 | 10/04/2012 | Common Stock | 90,000 |
| Stock Option (right to buy) | \$ 13.8 | Â | Â | Â | Â | Â | 05/01/2003 | 05/01/2013 | Common Stock | 99,500 |
| Stock Option (right to buy) | \$ 12.47 | Â | Â | Â | Â | Â | 04/20/2004 | 04/20/2009 | Common Stock | 90,000 |
| Stock Option (right to buy) | \$ 9.45 | Â | Â | Â | Â | Â | 01/21/2002 | 01/21/2012 | Common Stock | 43,780 |
| Stock Option (right to buy) | \$ 11.2 | Â | Â | Â | Â | Â | 10/04/2002 | 10/04/2012 | Common Stock | 21,000 |
| Stock Option (right to buy) | \$ 13.8 | Â | Â | Â | Â | Â | 05/01/2003 | 05/01/2013 | Common Stock | 27,600 |

Stock
Option (right to buy)

\$\hat{A} & \hat{A} & \hat{A

Reporting Owners

SANTA MONICA, CAÂ 90401

Reporting Owner Name / Address

Director 10% Owner Officer Other

MCADAMS JOSEPH LLOYD

C/O ANWORTH MORTGAGE ASSET

CORPORATION

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 Chairman, President & CEO

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1299 OCEAN AVENUE, SECOND FLOOR

Signatures

/s/ Joseph Lloyd
McAdams

**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).
- These shares were acquired under Anworth Mortgage Asset Corporation's Dividend Reinvestment and Stock Purchase Plan, in exempt transactions pursuant to Rule 16a-11, at the then current market prices during calendar year 2008.
- (2) Mr. McAdams is married to Heather U. Baines, Executive Vice President of Anworth Mortgage Asset Corporation. Mr. McAdams owns 62,500 shares individually. The balance of these shares are owned as community property with Ms. Baines.
- (3) Ms. Baines owns 41,500 shares in which Mr. McAdams has no beneficial interests.
- (4) Shares held by the McAdams Foundation, of which Mr. McAdams is a director.

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.

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