SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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Instruction 1(b).		Filed	pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940				0.0
1. Name and Address Thor James E	of Reporting Perso	on*	2. Issuer Name and Ticker or Trading Symbol <u>RUSH ENTERPRISES INC \TX\</u> [RUSH]		tionship of Repo all applicable) Director Officer (give ti	10% Owner	
(Last) (First) (Middle) 555 IH 35 SOUTH, SUITE 500		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 08/29/2018		below) Senior	below) Vice President	
(Street) NEW BRAUNFELS	ГХ	78130	4. If Amendment, Date of Original Filed (Month/Day/Year) 03/17/2020	6. Indiv Line) X	Form filed by	roup Filing (Check Applica One Reporting Person More than One Reporting	
(City) ((State)	(Zip)					

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

		•			. ,			•		
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Execution Date, Transact			4. Securities Disposed Of 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Class A Common Stock								22,992.064 ⁽¹⁾⁽²⁾	D	
Class B Common Stock								76,261.55 ⁽³⁾	D	

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. Transa Code (8)				6. Date Exerc Expiration Da (Month/Day/Y	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
		Code V (A)	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares							

Explanation of Responses:

1. This Form 4/A is being filed to amend the Form 4 filed by the reporting person on March 17, 2020, to correct an inadvertent administrative error. Although footnote 3 of the original filing disclosed the correct amount of Class A Common Stock acquired by the reporting person pursuant to the Rush Enterprises, Inc. Employee Stock Purchase Plan, these shares were inadvertently left out of the total reported in Table 1, Column 5 of Class A Common Stock.

2. Includes certain shares included in the Company's deferred compensation plan. Also includes shares acquired via dividend repurchases and reported on Form 4 on March 19, 2020.

3. Includes unvested restricted stock (RSAs) and certain shares and unvested restricted stock units included in the Company's deferred compensation plan. Also includes shares acquired via dividend repurchases and reported on Form 4 on March 19, 2020.

<u>Steven L. Keller, Attorney in</u> <u>Fact for James E. Thor</u> <u>03/31/2020</u>

** Signature of Reporting Person Date

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

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See