Rockwood Holdings, Inc. Form 4 September 16, 2014

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

OMB 3235-0287

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Number: January 31, Expires: 2005

**OMB APPROVAL** 

Form 4 or Form 5 obligations may continue.

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

burden hours per response... 0.5

Estimated average

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Ghasemi Seifi

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

(Last)

(City)

(First)

(Middle)

(Zip)

Rockwood Holdings, Inc. [ROC]

(Check all applicable)

C/O ROCKWOOD HOLDINGS.

3. Date of Earliest Transaction

(Month/Day/Year) 09/12/2014

\_X\_\_ Director 10% Owner Officer (give title Other (specify below)

INC., 100 OVERLOOK CENTER

(Street)

(State)

4. If Amendment, Date Original

Applicable Line)

Filed(Month/Day/Year)

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

6. Individual or Joint/Group Filing(Check

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

PRINCETON, NJ 08540

| 1.Title of | 2. Transaction Date | 2A. Deemed         | 3.         | 4. Securit | ies       | 5. Amount of     | 6. Ownership | 7. Nature of |
|------------|---------------------|--------------------|------------|------------|-----------|------------------|--------------|--------------|
| Security   | (Month/Day/Year)    | Execution Date, if | Transactio | onAcquired | (A) or    | Securities       | Form: Direct | Indirect     |
| (Instr. 3) |                     | any                | Code       | Disposed   | of (D)    | Beneficially     | (D) or       | Beneficial   |
|            |                     | (Month/Day/Year)   | (Instr. 8) | (Instr. 3, | 4 and 5)  | Owned            | Indirect (I) | Ownership    |
|            |                     |                    |            |            |           | Following        | (Instr. 4)   | (Instr. 4)   |
|            |                     |                    |            |            | (4)       | Reported         |              |              |
|            |                     |                    |            |            | (A)       | Transaction(s)   |              |              |
|            |                     |                    | C 1 W      |            | or        | (Instr. 3 and 4) |              |              |
| Common     |                     |                    | Code V     | Amount     | (D) Price |                  |              |              |
|            |                     |                    |            |            |           |                  |              |              |

Common

Stock, par value \$0.01

per share

09/12/2014

246

711,177 (2)

D

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)

#### Edgar Filing: Rockwood Holdings, Inc. - Form 4

|  | 1. Title of | 2.          | 3. Transaction Date | 3A. Deemed         | 4.         | 5.         | 6. Date Exerc | cisable and | 7. Titl   | e and    | 8. Price of | 9. Nu  |
|--|-------------|-------------|---------------------|--------------------|------------|------------|---------------|-------------|-----------|----------|-------------|--------|
|  | Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | Transacti  | orNumber   | Expiration D  | ate         | Amou      | nt of    | Derivative  | Deriv  |
|  | Security    | or Exercise |                     | any                | Code       | of         | (Month/Day/   | Year)       | Under     | lying    | Security    | Secui  |
|  | (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8) | Derivativ  | e             |             | Securi    | ities    | (Instr. 5)  | Bene   |
|  |             | Derivative  |                     |                    |            | Securities | S             |             | (Instr.   | 3 and 4) |             | Owne   |
|  |             | Security    |                     |                    |            | Acquired   |               |             |           |          |             | Follo  |
|  |             | •           |                     |                    |            | (A) or     |               |             |           |          |             | Repo   |
|  |             |             |                     |                    |            | Disposed   |               |             |           |          |             | Trans  |
|  |             |             |                     |                    |            | of (D)     |               |             |           |          |             | (Instr |
|  |             |             |                     |                    |            | (Instr. 3, |               |             |           |          |             | ,      |
|  |             |             |                     |                    |            | 4, and 5)  |               |             |           |          |             |        |
|  |             |             |                     |                    |            |            |               |             |           |          |             |        |
|  |             |             |                     |                    |            |            |               |             |           | Amount   |             |        |
|  |             |             |                     |                    |            |            | Date          | Expiration  |           | or       |             |        |
|  |             |             |                     |                    |            |            | Exercisable   | Date        | Title Num | Number   |             |        |
|  |             |             |                     |                    |            |            |               |             | of        |          |             |        |
|  |             |             |                     |                    | Code V     | (A) (D)    |               |             |           | Shares   |             |        |

# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Ghasemi Seifi C/O ROCKWOOD HOLDINGS, INC. 100 OVERLOOK CENTER PRINCETON, NJ 08540



## **Signatures**

/s/ Seifi Ghasemi 09/16/2014

\*\*Signature of Date
Reporting Person

### **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) Represents a quarterly grant of unrestricted shares of the Company's common stock as part of the Company's non-management director compensation.

In connection with Mr. Ghasemi's retirement, effective June 30, 2014, based upon the award agreement, Mr. Ghasemi is entitled to vest in only a pro-rated portion of market stock units previously granted in December 2011, December 2012 and December 2013 (based on the portion of the performance period for which he was employed by the Company), which market stock units had previously been reported

(2) by Mr. Ghasemi at target achievement. As a result, the balance of securities beneficially owned following the transaction reported herein has been reduced by 40,608 shares, which represents the portion of the awards (and related dividend equivalents) previously reported at target in which Mr. Ghasemi is no longer eligible to vest. The ultimate number of shares of common stock to be issued to Mr. Ghasemi in respect of these awards will depend on the achievement of the performance criteria set forth in such awards.

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.

Reporting Owners 2