

OM GROUP INC

Form 4

October 30, 2015

**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

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Hix Christopher M

(Last) (First) (Middle)

FLATS EAST BANK  
BUILDING,, 950 MAIN AVENUE,  
SUITE 1300

(Street)

CLEVELAND, OH 44113

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol

OM GROUP INC [OMG]

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

10/28/2015

4. If Amendment, Date Original  
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

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

VP and Chief Financial Officer

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_X\_\_ 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 Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	10/28/2015		D		17,000	D	\$ 34 (1)
Common Stock	10/28/2015		D		15,400	D	\$ 34 (1)
Common Stock	10/28/2015		D		8,900	D	\$ 34 (3)
Common Stock	10/28/2015		D		24	D	\$ 34 (4)
Common Stock	10/28/2015		D		31,731	D	\$ 34 (5)
							56,055 (2)
							40,655 (2)
							31,755 (2)
							31,731
							0

# Edgar Filing: OM GROUP INC - 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 Securities (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Options (right to buy)	\$ 23.21	10/28/2015		D	8,000	<u>(6)</u>	01/03/2022	Common Stock	8,000
Employee Stock Options (right to buy)	\$ 30.21	10/28/2015		D	13,400	<u>(6)</u>	02/14/2022	Common Stock	13,400
Employee Stock Options (right to buy)	\$ 27.32	10/28/2015		D	20,500	<u>(7)</u>	02/12/2023	Common Stock	20,500
Employee Stock Options (right to buy)	\$ 32.24	10/28/2015		D	19,000	<u>(8)</u>	02/11/2024	Common Stock	19,000
Employee Stock Options (right to buy)	\$ 29.04	10/28/2015		D	27,800	<u>(9)</u>	02/10/2025	Common Stock	27,800

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Hix Christopher M FLATS EAST BANK BUILDING, 950 MAIN AVENUE, SUITE 1300 CLEVELAND, OH 44113			VP and Chief Financial Officer	

## Signatures

/s/ Valerie Gentile Sachs, as  
Attorney-In-Fact

10/30/2015

\_\_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).

- Half of these performance units were disposed of pursuant to a merger agreement, dated May 31, 2015, by and among Duke Acquisition Holdings, LLC, Duke Acquisition, Inc., MacDermid Americas Acquisitions, Inc., and the Issuer (the "Merger Agreement") in exchange
- (1) for the right to receive \$34.00 in cash per performance unit, representing payout for the applicable performance share award at target performance level, plus any earned cash dividend equivalents, with the remaining performance units forfeited back to the Issuer for no consideration.
  - (2) Includes 24 dividend equivalents acquired on outstanding performance units awards through an exempt dividend equivalent feature.
  - (3) Performance units disposed of pursuant to the Merger Agreement in exchange for the right to receive \$34.00 in cash per performance unit, representing payout for the applicable performance share award at target performance level.
  - (4) Dividend equivalents on outstanding performance units awards disposed of pursuant to the Merger Agreement in exchange for the right to receive \$34.00 in cash per dividend equivalent.
  - (5) Disposed of pursuant to the Merger Agreement in exchange for the right to receive \$34.00 in cash per share.
  - (6) These options were fully vested.
  - (7) These options vested or were to vest in three equal installments on February 12, 2014, 2015, and 2016.
  - (8) These options vested or were to vest in three equal installments on February 11, 2015, 2016, and 2017.
  - (9) These options were to vest in three equal installments on February 10, 2016, 2017 and 2018.
  - (10) Disposed of pursuant to the Merger Agreement in exchange for a cash payment approximately equal to the difference (if positive) between \$34.00 and the exercise price of the stock option multiplied by the number of outstanding shares (both vested and unvested) subject to the stock option.

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.