LIBBEY INC Form 4 March 14, 2017

## FORM 4

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

Check this box subject to

if no longer 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

(Print or Type Responses)

(Last)

1. Name and Address of Reporting Person \* MILLER DEBORAH G

(First) (Middle)

2. Issuer Name and Ticker or Trading Symbol

3. Date of Earliest Transaction

LIBBEY INC [LBY]

(Month/Day/Year) 03/14/2017

300 MADISON AVENUE, PO BOX 10060

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

TOLEDO, OH 43699-0060

**OMB APPROVAL** 

OMB Number:

3235-0287

Expires:

January 31, 2005

Estimated average burden hours per

response...

0.5

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

X\_ Director 10% Owner Officer (give title Other (specify

6. Individual or Joint/Group Filing(Check

below)

Applicable Line) \_X\_ Form filed by One Reporting Person

D

Form filed by More than One Reporting

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

(City) (State)

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if

(Zip)

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8)

(Instr. 3, 4 and 5)

Securities Beneficially Owned Following Reported

5. Amount of

Form: Direct Indirect (D) or Beneficial Indirect (I) Ownership (Instr. 4) (Instr. 4)

SEC 1474

(9-02)

6. Ownership 7. Nature of

Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

(A)

or

25,492

Common Stock

(Instr. 3)

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

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of 6. Date Exercisable and Expiration Date Securities (Month/Day/Year)  Acquired (A) or			7. Title and Amount Underlying Securition (Instr. 3 and 4)	
	Derivative Security				Disposed of (D) (Instr. 3, 4, and 5)				
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amou Numb Shares
Phantom Stock Units	\$ 0	03/14/2017		A	19.9876 (1)	08/08/1988(2)	08/08/1988	Common Stock	19.9

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
MILLER DEBORAH G 300 MADISON AVENUE PO BOX 10060 TOLEDO, OH 43699-0060	X					

## **Signatures**

Debbie Hyndman, Attorney-in-Fact for Deborah G.
Miller

03/14/2017

\*\*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).
- The phantom stock units under the Libbey Inc. directors deferred compensation plan are to be settled in cash upon the reporting person's (1) retirement. The plan is a 16b(3) plan. The reporting person acquired 19.9876 units equal to one share per unit on March 14, 2017 in lieu of compensation for a dividend payment. Units were acquired on March 14, 2015 at \$13.39 per unit.
  - Phantom stock units pursuant to the Libbey director's deferred compensation plan (the "Plan"), a 16b(3) plan are acquired in lieu of cash compensation earned as a director for board and board committee service or in lieu of cash dividends on the deferred phantom stock units. The number of units (each equivalent to one common share of Libbey Inc.) acquired are equivalent to the dollar value of the
- (2) compensation earned based on the market value of Libbey Inc. shares at the time the compensation is earned or the dividend paid. The market value of Libbey Inc. shares is the closing price of the Libbey Inc. shares on the New York Stock Exchange on the last trading day prior to the day the compensation is earned or the dividend is paid. The units earned are settled in cash upon the director's elected settlement date or retirement from the board.

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.

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