

LIBBEY INC
Form 4
June 01, 2017

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Minarro Salvador

(Last) (First) (Middle)
300 MADISON AVENUE
(Street)

TOLEDO, OH 43604

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
LIBBEY INC [LBY]

3. Date of Earliest Transaction (Month/Day/Year)
05/31/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
VP, General Mgr US & Canada

6. Individual or Joint/Group Filing(Check Applicable Line)
 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 Ownership (Instr. 4)
			Code	V	Amount	(D)	Price
Common Stock	05/31/2017		P		10,000	A	8.426 <u>(1)</u>
Restricted Stock Units							39,392

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)

Edgar Filing: LIBBEY INC - Form 4

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)	8. Amount or Number of Shares
NQ - Stock Option (Right to Buy)	\$ 17					02/10/2012 ⁽²⁾ 02/10/2021	Common Shares	7,000
NQ - Stock Option (Right to Buy)	\$ 23.02					02/24/2015 ⁽²⁾ 02/24/2024	Common Shares	6,582
NQ - Stock Option (Right to Buy)	\$ 13.96					08/01/2013 ⁽²⁾ 08/01/2022	Common Shares	3,597
NQ - Stock Option (Right to Buy)	\$ 15.47					12/31/2013 ⁽³⁾ 12/31/2020	Common Shares	20,000
NQ - Stock Option (Right to Buy)	\$ 10.13					02/11/2011 ⁽²⁾ 02/11/2020	Common Shares	6,000
NQ - Stock Option (Right to Buy)	\$ 13.6					02/17/2018 03/01/2027	Common Stock	15,329
NQ - Stock	\$ 17.13					02/17/2017 02/25/2026	Common Shares	21,486

Edgar Filing: LIBBEY INC - Form 4

- This transaction was executed in multiple transactions at per share prices ranging from \$8.28 to \$8.50. The price reported above reflects
- (1) the weighted average purchase price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.
 - (2) The options become exercisable for 25% of the shares on each of the first, second, third, and fourth anniversary dates.
 - (3) Stock option vests 100% on 12/31/2013.
 - (4) The options become exercisable for 25% of the shares on February 17th of each of 2016, 2017, 2018 and 2019 provided the grantee remains continuously employed by the Company as of those respective dates.

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.