

GLOBE SPECIALTY METALS INC

Form 4

September 09, 2013

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
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(Print or Type Responses)

1. Name and Address of Reporting Person *
EIZENSTAT STUART E

(Last) (First) (Middle)

C/O GLOBE SPECIALTY
METALS, INC., 250 WEST 34TH
ST., SUITE 4125

(Street)

NEW YORK, NY 10119

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
GLOBE SPECIALTY METALS
INC [GSM]

3. Date of Earliest Transaction
(Month/Day/Year)
08/20/2013

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)

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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(D)	Price

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

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information contained in this form are not
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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)**

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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 Underlying Securities (Instr. 3 and 4)
Stock Appreciation Rights ⁽¹⁾	\$ 12.54	08/20/2013		A	12,784	⁽²⁾ 08/20/2018	Common Stock 12,784

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
EIZENSTAT STUART E C/O GLOBE SPECIALTY METALS, INC. 250 WEST 34TH ST., SUITE 4125 NEW YORK, NY 10119	X

Signatures

/s/ Stephen Lebowitz, attorney-in-fact for Stuart Eizenstat 09/09/2013

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).
- Each Stock Appreciation Right grants to the Reporting Person, the right to receive payment from the Issuer, on the Expiration Date, of a
- (1) cash amount equal to the difference obtained by subtracting the Exercise Price from the Fair Market Value of one share of the Issuer's Common Stock on the Expiration Date.
 - (2) The Stock Appreciation Rights vest and become exercisable in three increments as follows: 4,261 will vest and become exercisable on 8/20/14, 4,261 will vest and become exercisable on 8/20/15 and 4,262 will vest and become exercisable on 8/20/16.

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.