Edgar Filing: PERMA FIX ENVIRONMENTAL SERVICES INC - Form 4

PERMA FIX ENVIRONMENTAL SERVICES INC

Form 4 July 05, 2016

FORM 4

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

OMB Number:

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OMB APPROVAL

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

Form 5 obligations may continue. See Instruction

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

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person *

(First)

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

below)

ZWECKER MARK A

PERMA FIX ENVIRONMENTAL

3. Date of Earliest Transaction

(Check all applicable)

SERVICES INC [pesi]

(Middle)

(Month/Day/Year)

X_ Director 10% Owner Officer (give title Other (specify

8302 DUNWOODY PLACE, SUITE 07/01/2016

250

(Instr. 3)

(Street) 4. If Amendment, Date Original

(Month/Day/Year)

Filed(Month/Day/Year)

Code

6. Individual or Joint/Group Filing(Check

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

Person

ATLANTA, GA 30350

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

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 4. Securities Acquired Transaction(A) or Disposed of (D)

(Instr. 3, 4 and 5) (Instr. 8)

5. Amount of 6. 7. Nature of Securities Ownership Beneficially Form: Direct Beneficial Owned (D) or Indirect (I) **Following** (Instr. 4)

Indirect Ownership (Instr. 4)

(A)

Reported Transaction(s)

Code V Amount (D) Price (Instr. 3 and 4)

Common 07/01/2016 Stock

2,639 A

135,687 3.8175

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)

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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. Transactic Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Title and Amoun Underlying Securiti (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option	\$ 10.75					<u>(1)</u>	07/27/2016	CommonStock	2,400
Stock Option	\$ 14.75					(2)	08/02/2017	Common Stock	2,400
Stock Option	\$ 11.7					(3)	08/05/2018	Common Stock	2,400
Stock Option	\$ 13.35					<u>(4)</u>	07/29/2019	Common Stock	2,400
Stock Option	\$ 8.4					(5)	09/29/2020	Common Stock	2,400
Stock Option	\$ 7.05					<u>(6)</u>	08/24/2021	Common Stock	2,400
Stock Option	\$ 5.5					<u>(7)</u>	09/13/2022	Common Stock	2,400
Stock Option	\$ 2.785					(8)	09/12/2023	Common Stock	2,400
Stock Option	\$ 3.7					<u>(9)</u>	09/18/2024	Common Stock	2,400
Stock Option	\$ 4.19					(10)	09/17/2025	Common Stock	2,400

Reporting Owners

Reporting Owner Name / Address	Relationships					
Transfer and an area and an area	Director	10% Owner	Officer	Other		
ZWECKER MARK A 8302 DUNWOODY PLACE SUITE 250 ATLANTA, GA 30350	X					

Reporting Owners 2

Signatures

/s/Mark Zwecker 07/05/2016

**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).
- (1) Stock Option granted 07/27/06 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (2) Stock Option granted 08/02/07 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (3) Stock Option granted 08/05/08 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (4) Stock Option granted 07/29/09 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (5) Stock Option granted 09/29/10 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (6) Stock Option granted 08/24/11 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (7) Stock Option granted 09/13/12 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (8) Stock Option granted 09/12/13 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (9) Stock Option granted 09/18/14 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (10) Stock Option granted 09/17/15 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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