

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 *
SCAMINACE JOSEPH

(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
☒ Officer (give title below) ☐ Other (specify
below)

Chairman and CEO

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	(A) or (D)	Price
Common Stock	10/28/2015		D		62,500	D	\$ 34 (1)
							208,996 (2)
Common Stock	10/28/2015		D		52,900	D	\$ 34 (1)
							156,096 (2)
Common Stock	10/28/2015		D		30,400	D	\$ 34 (3)
							125,696 (2)
Common Stock	10/28/2015		D		82	D	\$ 34 (4)
							125,614
Common Stock	10/28/2015		D		125,614	D	\$ 34 (5)
							0

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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)

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)	\$ 51.155	10/28/2015		D	45,250	<u>(6)</u>	02/07/2017	Common Stock	45,250
Employee Stock Options (right to buy)	\$ 58.565	10/28/2015		D	33,550	<u>(6)</u>	03/10/2018	Common Stock	33,550
Employee Stock Options (right to buy)	\$ 20.12	10/28/2015		D	7,703	<u>(6)</u>	02/03/2019	Common Stock	7,703
Employee Stock Options (right to buy)	\$ 20.12	10/28/2015		D	46,500	<u>(6)</u>	02/03/2019	Common Stock	46,500
Employee Stock Options (right to buy)	\$ 30.66	10/28/2015		D	56,500	<u>(6)</u>	02/09/2020	Common Stock	56,500
Employee Stock Options	\$ 36.51	10/28/2015		D	5,289	<u>(6)</u>	02/08/2021	Common Stock	5,289

(right to
buy)Employee
Stock

Options	\$ 36.51	10/28/2015		D	50,000	<u>(6)</u>	02/08/2021	Common Stock	50,000
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(right to
buy)Employee
Stock

Options	\$ 30.21	10/28/2015		D	4,419	<u>(6)</u>	02/14/2022	Common Stock	4,419
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(right to
buy)Employee
Stock

Options	\$ 30.21	10/28/2015		D	55,000	<u>(6)</u>	02/14/2022	Common Stock	55,000
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(right to
buy)Employee
Stock

Options	\$ 27.32	10/28/2015		D	72,800	<u>(7)</u>	02/12/2023	Common Stock	72,800
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(right to
buy)Employee
Stock

Options	\$ 32.24	10/28/2015		D	65,200	<u>(8)</u>	02/11/2024	Common Stock	65,200
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(right to
buy)Employee
Stock

Options	\$ 29.04	10/28/2015		D	95,500	<u>(9)</u>	02/10/2025	Common Stock	95,500
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(right to
buy)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SCAMINACE JOSEPH FLATS EAST BANK BUILDING, 950 MAIN AVENUE, SUITE 1300 CLEVELAND, OH 44113	X		Chairman and CEO	

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 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.
- (1) Includes 82 dividend equivalents acquired on outstanding performance units awards through an exempt dividend equivalent feature.
- (2) 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.
- (3) 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.
- (4) Disposed of pursuant to the Merger Agreement in exchange for the right to receive \$34.00 in cash per share.
- (5) These options were fully vested.
- (6) These options vested or were to vest in three equal installments on February 12, 2014, 2015, and 2016.
- (7) These options vested or were to vest in three equal installments on February 11, 2015, 2016, and 2017.
- (8) These options were to vest in three equal installments on February 10, 2016, 2017 and 2018.
- (9) 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.
- (10)

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