Edgar Filing: PERMA FIX ENVIRONMENTAL SERVICES INC - Form 4

PERMA FIX ENVIRONMENTAL SERVICES INC Form 4 January 04, 2017 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person * 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading ZWECKER MARK A Issuer Symbol PERMA FIX ENVIRONMENTAL (Check all applicable) SERVICES INC [pesi] (Last) (First) (Middle) 3. Date of Earliest Transaction X_ Director 10% Owner Officer (give title Other (specify (Month/Day/Year) below) below) 8302 DUNWOODY PLACE, SUITE 01/03/2017 250 (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting ATLANTA, GA 30350 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Form: Direct Indirect (Instr. 3) any Code (Instr. 3, 4 and 5) Beneficially (D) or Beneficial (Month/Day/Year) (Instr. 8) Owned Ownership Indirect (I) (Instr. 4) Following (Instr. 4) Reported (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price Common 01/03/2017 3.222 A А 141,419 D 2.925 Stock

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.

 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. Transactiv Code (Instr. 8)	5. ofNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price Derivat Securit (Instr. 5
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option	\$ 14.75					<u>(1)</u>	08/02/2017	Common Stock	2,400	
Stock Option	\$ 11.7					(2)	08/05/2018	Common Stock	2,400	
Stock Option	\$ 13.35					<u>(3)</u>	07/29/2019	Common Stock	2,400	
Stock Option	\$ 8.4					<u>(4)</u>	09/29/2020	Common Stock	2,400	
Stock Option	\$ 7.05					(5)	08/24/2021	Common Stock	2,400	
Stock Option	\$ 5.5					(6)	09/13/2022	Common Stock	2,400	
Stock Option	\$ 2.785					(7)	09/12/2023	Common Stock	2,400	
Stock Option	\$ 3.7					(8)	09/18/2024	Common Stock	2,400	
Stock Option	\$ 4.19					<u>(9)</u>	09/17/2025	Common Stock	2,400	
Stock Option	\$ 4.6					(10)	07/28/2026	Common Stock	2,400	

Edgar Filing: PERMA FIX ENVIRONMENTAL SERVICES INC - Form 4

Reporting Owners

Reporting Owner Name / Address	Relationships					
1	Director	10% Owner	Officer	Other		
ZWECKER MARK A 8302 DUNWOODY PLACE SUITE 250 ATLANTA, GA 30350	Х					

Signatures

**Signature of Reporting Person

/s/Mark Zwecker

01/04/2017

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 08/02/07 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (2) 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.
- (3) 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.
- (4) 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.
- (5) 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.
- (6) 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.
- (7) 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.
- $(8) \quad \frac{\text{Stock Option granted } 09/18/14 \text{ under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.}$
- (9) 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.
- (10) $\frac{\text{Stock Option granted 07/28/16 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.}$

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