GLOBE SPECIALTY METALS INC

Form 4

September 09, 2013

FORM 4

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

OMB Number:

3235-0287

0.5

if no longer

Check this box

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

Expires: January 31, 2005

OMB APPROVAL

subject to Section 16. Form 4 or

SECURITIES

Estimated average burden hours per

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

response...

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person *
Lavin Franklin

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

GLOBE SPECIALTY METALS

(Check all applicable)

INC [GSM]

08/20/2013

(First) (Middle)

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

_X__ Director _____ 10% Owner ____ Officer (give title _____ Other (specify

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

(Street)

ST., SUITE 4125

(Last)

4. If Amendment, Date Original

(Instr. 8)

 $6.\ Individual\ or\ Joint/Group\ Filing (Check$

Filed(Month/Day/Year)

Applicable Line)
X Form filed by One Reporting Person
___ Form filed by More than One Reporting

Person

below)

NEW YORK, NY 10119

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if

3. 4. Securities
TransactionAcquired (A) or
Code Disposed of (D)

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

(Instr. 4)

(Instr. 4)

(A) or Reported Transaction(s)

Following

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

(Instr. 3, 4 and 5)

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

(Month/Day/Year)

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)

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)	Transaction Code (Instr. 8)		5. Number of or 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 Securitie (Instr. 3 and 4)	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amour or Number of Shar
Stock Appreciation Rights (1)	\$ 12.54	08/20/2013		A		12,784		(2)	08/20/2018	Common Stock	12,78

Reporting Owners

Relationships Reporting Owner Name / Address

Director 10% Owner Officer Other

Lavin Franklin C/O GLOBE SPECIALTY METALS, INC. 250 WEST 34TH ST., SUITE 4125 NEW YORK, NY 10119



Signatures

/s/ Stephen Lebowitz, attorney-in-fact for Franklin 09/09/2013 Lavin

> **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 subracting the Exercise Price from the Fair Market Value of one share of the Issuer's Common Stock on the Expiration Date.
- 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.

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