Edgar Filing: PERMA FIX ENVIRONMENTAL SERVICES INC - Form 4

PERMA FIX ENVIRONMENTAL SERVICES INC

Form 4 July 02, 2014

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

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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

may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

| 1. Name and AdZWECKER | Symbo | 2. Issuer Name and Ticker or Trading Symbol PERMA FIX ENVIRONMENTAL | | | | 5. Relationship of Reporting Person(s) to Issuer | | | |
|--------------------------------------|--------------------------------------|--|--|----------------------------------|---------------------|---|--|--|---|
| | | | ICES INC | | ,121 (| | (Che | ck all applicable | e) |
| (Last) | (First) (M | | 3. Date of Earliest Transaction (Month/Day/Year) | | | X Director Officer (give below) | | Owner er (specify | |
| 1042 CUMBERLAND RD | | | 07/01/2014 | | | | below) | ociow) | |
| | (Street) | | 4. If Amendment, Date Original Filed(Month/Day/Year) | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person | | | |
| ATLANTA, | GA 30306 | | | | | | | More than One Re | |
| (City) | (State) (2 | Zip) Ta | ble I - Non-D | erivative (| Securi | ities Aco | quired, Disposed o | of, or Beneficial | lly Owned |
| 1.Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, any (Month/Day/Yea | Code | on(A) or D: (D) (Instr. 3, | ispose 4 and (A) or | d of 5) Price | 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) |
| Common Stock | 07/01/2014 | | A | 2,920 | A | \$ 3.45 | 109,687 | D | |

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

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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8. Price Derivat Securit (Instr. 5

| 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. Transacti Code (Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | Expiration D (Month/Day/ e | 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 | |
| Stock Option | \$ 8.5 | | | | | <u>(1)</u> | 07/28/2014 | Common Stock | 2,400 | |
| Stock Option | \$ 9.2 | | | | | (2) | 07/27/2015 | Common Stock | 2,400 | |
| Stock Option | \$ 10.75 | | | | | (3) | 07/27/2016 | Common Stock | 2,400 | |
| Stock Option | \$ 14.75 | | | | | <u>(4)</u> | 08/02/2017 | Common Stock | 2,400 | |
| Stock Option | \$ 11.7 | | | | | <u>(5)</u> | 08/05/2018 | Common Stock | 2,400 | |
| Stock Option | \$ 13.35 | | | | | <u>(6)</u> | 07/29/2019 | Common Stock | 2,400 | |
| Stock Option | \$ 8.4 | | | | | <u>(7)</u> | 09/29/2020 | Common Stock | 2,400 | |
| Stock Option | \$ 7.05 | | | | | (8) | 08/24/2021 | Common Stock | 2,400 | |
| Stock Option | \$ 5.5 | | | | | <u>(9)</u> | 09/13/2022 | Common Stock | 2,400 | |
| Stock Option | \$ 2.785 | | | | | (10) | 09/12/2023 | Common Stock | 2,400 | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | |
|--------------------------------|---------------|-----------|---------|-------|--|--|
| | Director | 10% Owner | Officer | Other | | |
| ZWECKER MARK A | | | | | | |
| 1042 CUMBERLAND RD | X | | | | | |
| ATLANTA, GA 30306 | | | | | | |

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Signatures

/s/Mark Zwecker 07/02/2014

**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 07/28/04 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (2) Stock Option granted 07/27/05 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (3) 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.
- (4) 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.
- (5) 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.
- (6) 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.
- (7) 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.
- (8) 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.
- (9) 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.
- (10) 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.

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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