#### Edgar Filing: PERMA FIX ENVIRONMENTAL SERVICES INC - Form 4

#### PERMA FIX ENVIRONMENTAL SERVICES INC

Form 4 July 28, 2016

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB

Number:

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obligations

Check this box

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 Address of Reporting Person \*

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

below)

LAHAV JACK

PERMA FIX ENVIRONMENTAL

(Check all applicable)

SERVICES INC [pesi]

(Last) (First) 3. Date of Earliest Transaction

(Instr. 8)

X\_ Director Officer (give title

10% Owner Other (specify

(Month/Day/Year) 8302 DUNWOODY PLACE, SUITE 07/28/2016

(Middle)

250

(Street) 4. If Amendment, Date Original

(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

Filed(Month/Day/Year)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

D

ATLANTA, GA 30350

(State) (Zip)

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

1. Title of Security (Instr. 3)

(City)

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

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) 5. Amount of Securities Beneficially (D) or Owned Following

6. Ownership 7. Nature of Form: Direct Indirect Beneficial Ownership Indirect (I)

(A) or

Reported Transaction(s)

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

(Instr. 3, 4 and 5)

(Instr. 4) (Instr. 4)

Common

Stock

194,000

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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| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transacti<br>Code<br>(Instr. 8) | Securitie | vative<br>es<br>d<br>d of | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                    | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |  | 8. I<br>Der<br>Sec<br>(Ins |
|---|---|---|---|---------------------------------------|-----------|---------------------------|--|--------------------|---|--|----------------------------|
|   |   |   |   | Code V                                | (A)       | (D)                       | Date<br>Exercisable                                      | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |                            |
| Stock<br>Option                                     | \$ 14.75  |   |   |                                       |           |                           | <u>(1)</u>   | 08/02/2017         | Common<br>Stock   | 2,400                                  |                            |
| Stock<br>Option                                     | \$ 11.7   |   |   |                                       |           |                           | (2)  | 08/05/2018         | Common<br>Stock   | 2,400                                  |                            |
| Stock<br>Option                                     | \$ 13.35  |   |   |                                       |           |                           | (3)  | 07/29/2019         | Common<br>Stock   | 2,400                                  |                            |
| Stock<br>Option                                     | \$ 8.4  |   |   |                                       |           |                           | <u>(4)</u>   | 09/29/2020         | Common<br>Stock   | 2,400                                  |                            |
| Stock<br>Option                                     | \$ 7.05   |   |   |                                       |           |                           | <u>(5)</u>   | 08/24/2021         | Common<br>Stock   | 2,400                                  |                            |
| Stock<br>Option                                     | \$ 5.5  |   |   |                                       |           |                           | <u>(6)</u>   | 09/13/2022         | Common<br>Stock   | 2,400                                  |                            |
| Stock<br>Option                                     | \$ 2.79   |   |   |                                       |           |                           | <u>(7)</u>   | 09/12/2023         | Common<br>Stock   | 2,400                                  |                            |
| Stock<br>Option                                     | \$ 3.7  |   |   |                                       |           |                           | (8)  | 09/18/2024         | Common<br>Stock   | 2,400                                  |                            |
| Stock<br>Option                                     | \$ 4.19   |   |   |                                       |           |                           | <u>(9)</u>   | 09/17/2025         | Common<br>Stock   | 2,400                                  |                            |
| Stock<br>Option                                     | \$ 4.6  | 07/28/2016                              |   | A                                     | 2,400     |                           | (10)   | 07/28/2026         | Common<br>Stock   | 2,400                                  | 9,                         |

# **Reporting Owners**

| Reporting Owner Name / Address                                      | Relationships |           |         |       |  |  |  |
|---|---------------|-----------|---------|-------|--|--|--|
|   | Director      | 10% Owner | Officer | Other |  |  |  |
| LAHAV JACK<br>8302 DUNWOODY PLACE<br>SUITE 250<br>ATLANTA, GA 30350 | X             |           |         |       |  |  |  |

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# **Signatures**

/s/Jack Lahav 07/28/2016

\*\*Signature of Date
Reporting Person

# **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 fix 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 fix 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 fix 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 fix 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 fix 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 fix 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 fix months from date of grant.
- (8) Stock Option granted 09/18/14 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully fix 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 fix months from date of grant.
- (10) Stock Option granted 27/28/16 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully fix 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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