

GLOBE SPECIALTY METALS INC

Form 4

September 05, 2014

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
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Kestenbaum Alan

(Last) (First) (Middle)

C/O GLOBE SPECIALTY
METALS, INC., 600 BRICKELL
AVENUE, STE 1500

(Street)

MIAMI, FL 33131

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
GLOBE SPECIALTY METALS
INC [GSM]

3. Date of Earliest Transaction
(Month/Day/Year)
09/03/2014

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) Executive Chairman

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	09/03/2014		S		33,824	D	\$ 20.2587 (1)
Common Stock	09/04/2014		S		66,176	D	\$ 20.3486 (2)

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**

SEC 1474
(9-02)

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. 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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following the Reported Transaction (Instr. 10)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Kestenbaum Alan C/O GLOBE SPECIALTY METALS, INC. 600 BRICKELL AVENUE, STE 1500 MIAMI, FL 33131	X	X	Executive Chairman	

Signatures

/s/ Stephen Lebowitz,
attorney-in-fact

09/05/2014

__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).

The average sales price over several transactions is \$20.2587: 1400 @ \$20.00; 422 @ \$20.01; 1000 @ \$20.02; 1300 @ \$20.03; 278 @ \$20.04; 500 @ \$20.05; 42 @ \$20.06; 1200 @ \$20.07; 1600 @ \$20.08; 2066 @ \$20.09; 335 @ \$20.10; 700 @ \$20.11; 700 @ \$20.12; 1100 @ \$20.13; 400 @ \$20.14; 200 @ \$20.15; 400 @ \$20.16; 400 @ \$20.17; 900 @ \$20.18; 100 @ \$20.185; 300 @ \$20.19; 800 @ \$20.24; 200 @ \$20.25; 600 @ \$20.28; 100 @ \$20.29; 1100 @ \$20.30; 600 @ \$20.31; 100 @ \$20.315; 300 @ \$20.32; 1000 @ \$20.33; 800 @ \$20.34; 600 @ \$20.35; 500 @ \$20.36; 1433 @ \$20.37; 1157 @ \$20.38; 710 @ \$20.39; 200 @ \$20.40; 100 @ \$20.41; 1181 @ \$20.42; 100 @ \$20.43; 500 @ \$20.44; 1003 @ \$20.45; 901 @ \$20.46; 1111 @ \$20.47; 285 @ \$20.48; 900 @ \$20.49; 100 @ \$20.50; 100 @ \$20.51; 100 @ \$20.55; 100 @ \$20.56; 600 @ \$20.57; 100 @ \$20.58; 500 @ \$20.59; 500 @ \$20.63; 100 @ \$20.67.

The average sales price over several transactions is \$20.3486: 600 @ \$20.00; 100 @ \$20.02; 100 @ \$20.03; 100 @ \$20.035; 300 @ \$20.04; 200 @ \$20.07; 800 @ \$20.08; 300 @ \$20.11; 200 @ \$20.12; 800 @ \$20.185; 400 @ \$20.19; 1069 @ \$20.21; 400 @ \$20.215; 988 @ \$20.22; 1000 @ \$20.23; 1491 @ \$20.24; 929 @ \$20.25; 460 @ \$20.26; 871 @ \$20.27; 300 @ \$20.28; 400 @ \$20.285; 1874 @ \$20.29; 2700 @ \$20.30; 800 @ \$20.31; 1200 @ \$20.32; 2200 @ \$20.33; 2300 @ \$20.34; 9400 @ \$20.35; 4000 @ \$20.36; 2100 @ \$20.37; 1300 @ \$20.38; 4300 @ \$20.39; 1749 @ \$20.40; 700 @ \$20.41; 2700 @ \$20.42; 7966 @ \$20.43; 600 @ \$20.435; 2600 @ \$20.44; 700 @ \$20.445; 3900 @ \$20.45; 700 @ \$20.46; 383 @ \$20.47; 96 @ \$20.48; 100 @ \$20.49.

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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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