

LIBBEY INC  
Form 5  
February 05, 2007

**FORM 5**

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

OMB APPROVAL

OMB Number: 3235-0362  
Expires: January 31, 2005  
Estimated average burden hours per response... 1.0

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).  
Form 3 Holdings Reported Form 4 Transactions Reported

**ANNUAL 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

1. Name and Address of Reporting Person \*  
**BOERGER KENNETH A**  
  
(Last) (First) (Middle)

2. Issuer Name and Ticker or Trading Symbol  
**LIBBEY INC [LBY]**

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
Vice President & Treasurer

**LIBBEY INC, PO BOX 10060**  
  
(Street)

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)  
**12/31/2006**

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Reporting (check applicable line)

**TOLEDO, OH 43699-0060**  
  
(City) (State) (Zip)

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 at end of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|--|--|---|
| Common Stock                    | 12/31/2006 <sup>(1)</sup>            | 12/31/2006   | A                              | 0.5896 A \$ <sup>(1)</sup>  | 57.0024  | I  | by Son  |
| Common Stock                    | Â                                    | Â  | Â                              | Â Â Â   | 642.6783   | D  | Â   |
| Common Stock                    | Â                                    | Â  | Â                              | Â Â Â   | 7,129.9183   | I  | by 401(k) plan  |

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.**

SEC 2270 (9-02)

Edgar Filing: LIBBEY INC - Form 5

**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 Security (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
|  |  |                                      |  |                                | (A) (D)   | Date Exercisable Expiration Date                         | Title   |
| Non-Qualified Stock Option (right to buy)  | \$ 11.79   | Â                                    | Â  | Â                              | Â Â   | 12/08/2006 <sup>(2)</sup> 12/08/2015                     | Common Stock 5  |
| Non-Qualified Stock Option (right to buy)  | \$ 20.39   | Â                                    | Â  | Â                              | Â Â   | 12/10/2005 <sup>(3)</sup> 12/11/2014                     | Common Stock 5  |
| Non-Qualified Stock Option (right to buy)  | \$ 23  | Â                                    | Â  | Â                              | Â Â   | 12/22/1996 <sup>(2)</sup> 12/23/2005                     | Common Stock 2  |
| Non-Qualified Stock Option (right to buy)  | \$ 23.93   | Â                                    | Â  | Â                              | Â Â   | 11/20/2003 <sup>(3)</sup> 11/21/2012                     | Common Stock 7  |
| Non-Qualified Stock Option (right to buy)  | \$ 26.875  | Â                                    | Â  | Â                              | Â Â   | 12/02/1997 <sup>(2)</sup> 12/03/2006                     | Common Stock 2  |
| Non-Qualified Stock Option (right to buy)  | \$ 28.53   | Â                                    | Â  | Â                              | Â Â   | 12/15/2004 <sup>(3)</sup> 12/16/2013                     | Common Stock 4  |
| Non-Qualified Stock Option (right to buy)  | \$ 30.55   | Â                                    | Â  | Â                              | Â Â   | 11/13/2002 <sup>(2)</sup> 11/14/2011                     | Common Stock 7  |
| Non-Qualified Stock Option (right to buy)  | \$ 31.375  | Â                                    | Â  | Â                              | Â Â   | 08/24/2000 <sup>(2)</sup> 08/25/2009                     | Common Stock 3  |
| Non-Qualified Stock Option (right to buy)  | \$ 32.3125   | Â                                    | Â  | Â                              | Â Â   | 09/08/2001 09/09/2010                                    | Common Stock 4  |
| Non-Qualified Stock Option                 | \$ 38.4375   | Â                                    | Â  | Â                              | Â Â   | 06/05/1999 <sup>(2)</sup> 06/06/2008                     | Common Stock 3  |

(right to buy)

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                              |       |
|--|---------------|-----------|------------------------------|-------|
|  | Director      | 10% Owner | Officer                      | Other |
| BOERGER KENNETH A<br>LIBBEY INC<br>PO BOX 10060<br>TOLEDO, OH 43699-0060 | Â             | Â         | Â Vice President & Treasurer | Â     |

## Signatures

By: Wendy Daudelin, Attorney in fact For: Kenneth A. Boerger

02/05/2007

\*\*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) Dividend reinvestment acquired during 2006 on stock previously owned by son.
- (2) The options become exercisable for 40% of the shares on the first anniversary and 20% of the shares on the second, third and fourth anniversary dates.
- (3) On December 6, 2005 the Board of Directors approved a motion to accelerate the vesting of all outstanding and unvested stock options that were awarded from 2002 - 2004.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.