

LIBBEY INC  
Form 4  
December 20, 2016

# FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Minarro Salvador

(Last) (First) (Middle)

300 MADISON AVENUE

(Street)

TOLEDO, OH 43604

(City) (State) (Zip)

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

3. Date of Earliest Transaction  
(Month/Day/Year)  
12/19/2016

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)

VP, General Mgr US & Canada

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 or (D) Price			
Common Shares	12/19/2016		M	2,882 (1) A \$ 12.8	2,882	D	
Common Shares	12/19/2016		S	2,882 (1) D \$ 20.38	0	D	
Restricted Stock Units					823 (2)	D	
Restricted Stock Units					11,028 (3)	D	
Restricted Stock Units					4,737 (4)	D	

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Restricted Stock Units	4,315 <sup>(5)</sup>	D
Restricted Stock Units	10,158	D
Restricted Stock Units	4,243 <sup>(6)</sup>	D

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

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(9-02)

**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 (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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
NQ - Stock Option (Right to Buy)	\$ 12.8	12/19/2016		M	2,882	02/16/2008 <sup>(7)</sup> 02/16/2017	Common Shares	2,882	
NQ - Stock Option (Right to Buy)	\$ 17					02/10/2012 <sup>(7)</sup> 02/10/2021	Common Shares	7,000	
NQ - Stock Option (Right to Buy)	\$ 23.02					02/24/2015 <sup>(7)</sup> 02/24/2024	Common Shares	6,582	
NQ - Stock Option (Right to Buy)	\$ 13.96					08/01/2013 <sup>(7)</sup> 08/01/2022	Common Shares	3,597	

NQ - Stock Option (Right to Buy)	\$ 10.13	02/11/2011 <sup>(7)</sup>	02/11/2020	Common Shares	6,000
NQ - Stock Option (Right to Buy)	\$ 1.01	02/27/2010 <sup>(7)</sup>	02/27/2019	Common Shares	7,000
NQ - Stock Option (Right to Buy)	\$ 17.13	02/17/2017	02/25/2026	Common Shares	21,486
NQ - Stock Option (Right to Buy)	\$ 15.35	02/15/2009 <sup>(7)</sup>	02/15/2018	Common Shares	3,200
NQ - Stock Option (Right to Buy)	\$ 19.02	02/22/2014 <sup>(7)</sup>	02/22/2023	Common Shares	7,918
NQ - Stock Option (Right to Buy)	\$ 13.95	02/17/2013 <sup>(7)</sup>	02/17/2022	Common Shares	7,500
NQ - Stock Option (Right to Buy)	\$ 38.06	02/17/2016 <sup>(8)</sup>	03/02/2025	Common Shares	6,340
NQ - Stock Option (Right to Buy)	\$ 15.47	12/31/2013 <sup>(9)</sup>	12/31/2020	Common Shares	20,000

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other

Minarro Salvador  
300 MADISON AVENUE  
TOLEDO, OH 43604

VP, General Mgr US & Canada

## Signatures

Debbie Hyndman, Attorney-in-Fact for Salvador  
Minarro

12/20/2016

\_\_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) The common stock covered by this Form 4 was sold under a plan, adopted on November 18, 2016, in compliance with Rules 10b5-1 under the Securities Act of 1934, as amended.
- (2) Restricted stock unit award of 4,918 RSUs granted 8/1/2012 will vest 25% on each of the first, second, third and fourth anniversary dates provided the grantee remains continuously employed by the Company as of those respective dates.
- (3) Restricted Stock Unit award of 12,000 RSUs granted 3/2/2015 will vest 25% on February 17th of each of 2016, 2017, 2018 and 2019 provided the grantee remains continuously employed by the Company as of those respective dates.
- (4) Restricted stock unit award of 5,781 RSUs granted 2/24/2014 will vest 25% on each of the first, second, third and fourth anniversary dates provided the grantee remains continuously employed by the Company as of those respective dates.
- (5) Restricted stock unit award of 4,695 RSUs granted 3/2/2015 will vest 25% on each of the first, second, third and fourth anniversary dates provided the grantee remains continuously employed by the Company as of those respective dates.
- (6) Restricted stock unit award of 6,939 RSUs granted 2/22/2013 will vest 25% on each of the first, second, third and fourth anniversary dates provided the grantee remains continuously employed by the Company as of those respective dates.
- (7) The options become exercisable for 25% of the shares on each of the first, second, third, and fourth anniversary dates.
- (8) The options become exercisable for 25% of the shares on February 17th of each of 2016, 2017, 2018 and 2019 provided the grantee remains continuously employed by the Company as of those respective dates.
- (9) Stock option vests 100% on 12/31/2013.

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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