#### Edgar Filing: ALLIANCE ONE INTERNATIONAL, INC. - Form 4

ALLIANCE ONE INTERNATIONAL, INC.

Form 4

October 15, 2015

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** Number:

3235-0287

Expires:

January 31, 2005

0.5

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**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5

Check this box

obligations may continue. See Instruction

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(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Fink Nichlas A

2. Issuer Name and Ticker or Trading

Symbol

10/13/2015

INTERNATIONAL, INC. [AOI]

5. Relationship of Reporting Person(s) to

Issuer

ALLIANCE ONE

(Check all applicable)

Corp Controller & CCO

(Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year)

X\_ Officer (give title below)

Director

10% Owner Other (specify

C/O ALLIANCE ONE INTERNATIONAL, INC., 8001 AERIAL CENTER PARKWAY

4. If Amendment, Date Original

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

MORRISVILLE, NC 27560

(City) (State) (Zip)

(Street)

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

1.Title of Security (Instr. 3)

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

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5)

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct (D) or Indirect (I) (Instr. 4)

Indirect Beneficial Ownership (Instr. 4)

**SEC 1474** 

(9-02)

(A)

Reported Transaction(s) (Instr. 3 and 4)

Common Stock

Code V Amount (D) Price

D

Common

Stock

5,102

5,786

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)

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. Transactic Code (Instr. 8)	5. Number of or 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 Amoun Underlying Securiti (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amou or Numb of Share
Employee Stock Option Right to Buy	\$ 60	10/13/2015		D		1,000	03/24/2012(1)	03/24/2021	Common Stock	1,00
Employee Stock Option Right to Buy	\$ 60	10/13/2015		D		4,000	04/17/2013(2)	04/17/2013	Common Stock	4,00
Restricted Stock Units	<u>(6)</u>	10/13/2015		A	879		10/13/2016 <u>(3)</u>	10/13/2018	Common Stock	879

# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Fink Nichlas A C/O ALLIANCE ONE INTERNATIONAL, INC. 8001 AERIAL CENTER PARKWAY

Corp Controller & CCO

### **Signatures**

MORRISVILLE, NC 27560

Laura D. Jones, ATTORNEY-IN-FACT

\*\*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) One-fifth each anniversery over 5 years begining on 03/24/2012.

Reporting Owners 2

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- (2) One-fifth each anniversery over 5 years begining on 04/17/2013.
- (3) Fifty percent on the first anniversery, twenty-five percent on each the second & third anniversery from date of grant.
- (4) Reporting person disposed of 1000 options in exchange for 152 restricted stock units in an issuer exchange offer.
- (5) Reporting person disposed of 4000 options in exchange for 727 restricted stock units in an issuer exchange offer.
- (6) Each restricted stock unit represents a contingent right to receive one share of Alliance One International, Inc. common stock.

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