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

#### PERMA FIX ENVIRONMENTAL SERVICES INC

Form 4 April 03, 2017

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB

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

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

1(b).

(Print or Type Responses)

See Instruction

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading **ZWECKER MARK A** Issuer Symbol PERMA FIX ENVIRONMENTAL (Check all applicable) SERVICES INC [pesi] (Last) (First) (Middle) 3. Date of Earliest Transaction X\_ Director 10% Owner Officer (give title Other (specify (Month/Day/Year) below) 8302 DUNWOODY PLACE, SUITE 04/03/2017 250 (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting ATLANTA, GA 30350 Person

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

5. Amount of 1. Title of 2. Transaction Date 2A. Deemed 4. Securities Acquired 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Ownership Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially Form: Direct Beneficial (Month/Day/Year) (Instr. 8) Owned (D) or Ownership Indirect (I) **Following** (Instr. 4) Reported (Instr. 4) (A) Transaction(s) (Instr. 3 and 4) Code V Amount (D) Price Common 04/03/2017 3,989 A 145,408 D Stock 2.3625

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form 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)

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8. Price Derivat Securit (Instr. 5

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. oriNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Title and A Underlying S (Instr. 3 and	Securities
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option	\$ 14.75					<u>(1)</u>	08/02/2017	Common Stock	2,400
Stock Option	\$ 11.7					(2)	08/05/2018	Common Stock	2,400
Stock Option	\$ 13.35					(3)	07/29/2019	Common Stock	2,400
Stock Option	\$ 8.4					<u>(4)</u>	09/29/2020	Common Stock	2,400
Stock Option	\$ 7.05					<u>(5)</u>	08/24/2021	Common Stock	2,400
Stock Option	\$ 5.5					<u>(6)</u>	09/13/2022	Common Stock	2,400
Stock Option	\$ 2.785					<u>(7)</u>	09/12/2023	Common Stock	2,400
Stock Option	\$ 3.7					<u>(8)</u>	09/18/2024	Common Stock	2,400
Stock Option	\$ 4.19					<u>(9)</u>	09/17/2025	Common Stock	2,400
Stock Option	\$ 4.6					(10)	07/28/2026	Common Stock	2,400

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
r g	Director	10% Owner	Officer	Other		
ZWECKER MARK A 8302 DUNWOODY PLACE SUITE 250 ATLANTA, GA 30350	X					

Reporting Owners 2

# **Signatures**

/s/Mark Zwecker 04/03/2017

\*\*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) Stock Option granted 08/02/07 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six 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 six 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 six 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 six 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 six 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 six 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 six 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 six 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 six months from date of grant.
- (10) Stock Option granted 07/28/16 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six 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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Signatures 3