FERRO CORP

Form 4

February 22, 2017

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB

Number:

3235-0287

Expires:

January 31, 2005

0.5

burden hours per

response...

Estimated average

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. See Instruction

30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Bingle John Issuer Symbol FERRO CORP [FOE] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner X\_ Officer (give title Other (specify 6060 PARKLAND BOULEVARD 02/20/2017 below) below) Treasurer (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

#### MAYFIELD HEIGHTS, OH 44124

(City)	(State)	(Zip) Tab	le I - Non-l	Derivative	Secu	rities Acq	quired, Disposed	of, or Benefici	ally Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactio Code (Instr. 8)	4. Securi or(A) or D (Instr. 3,	ispose	d of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code V	Amount	(D)	Price	(Instr. 3 and 4)		
Common Stock	02/20/2017		M	900	A	<u>(1)</u>	18,582	D	
Common Stock	02/20/2017		F	335	D	\$ 14.18	18,247	D	
Common Stock							10.8345	I	Investment Savings Plan

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

Person

### Edgar Filing: FERRO CORP - Form 4

# 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. Transa Code (Instr.		Deri Secu Acq (A) Disp of (I	ivative urities uritied or posed D) tr. 3, 4,	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount Underlying Securitie (Instr. 3 and 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amour Number Shares
Restricted Share Unit	\$ 0	02/20/2017		M			900	02/20/2017	02/20/2017	Common Stock	9
Performance Share Unit	\$ 0							(2)	12/31/2016	Common Stock	2,3
Performance Share Unit	\$ 0							(2)	12/31/2019	Common Stock	2,
Performance Share Unit	\$ 0							(2)	12/31/2017	Common Stock	2,:
Performance Share Unit	\$ 0							(2)	12/31/2018	Common Stock	3,2
Phantom Shares	(3)							<u>(3)</u>	<u>(3)</u>	Common Stock	2,539
Restricted Share Unit	\$ 0							02/17/2019	02/17/2019	Common Stock	1,
Restricted Share Unit	\$ 0							02/15/2020	02/15/2020	Common Stock	8
Restricted Share Unit	\$ 0							02/23/2015(4)	02/23/2015	Common Stock	2,3
Restricted Share Unit	\$ 0							02/23/2016(4)	02/23/2016	Common Stock	2,:
Restricted Share Unit	\$ 0							02/18/2018	02/18/2018	Common Stock	1,0
Stock Options (Right to Buy)	\$ 17.26							02/28/2009	02/28/2018	Common Stock	3,:
Stock Options	\$ 8.25							02/25/2011	02/25/2020	Common Stock	2,0

## Edgar Filing: FERRO CORP - Form 4

(Right to Buy)					
Stock Options (Right to Buy)	\$ 1.37	02/25/2010	02/25/2019	Common Stock	1,
Stock Options (Right to Buy)	\$ 15.16	02/24/2012	02/24/2021	Common Stock	6,
Stock Options (Right to Buy)	\$ 6.84	02/23/2013	02/23/2022	Common Stock	4,
Stock Options (Right to Buy)	\$ 5.29	02/21/2014	02/21/2023	Common Stock	5,
Stock Options (Right to Buy)	\$ 13.09	02/20/2015	02/20/2024	Common Stock	1,
Stock Options (Right to Buy)	\$ 12.33	02/18/2016	02/18/2025	Common Stock	2,
Stock Options (Right to Buy)	\$ 9.6	02/17/2017	02/17/2026	Common Stock	3,
Stock Options (Right to Buy)	\$ 14.27	02/15/2018	02/15/2027	Common Stock	2,

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
• 0	Director	10% Owner	Officer	Other		
Bingle John						
6060 PARKLAND BOULEVARD			Treasurer			
MAYFIELD HEIGHTS OH 44124						

Reporting Owners 3

Edgar Filing: FERRO CORP - Form 4

### **Signatures**

/s/ John T. Bingle, Treasurer, by Power of Attorney

02/22/2017

\*\*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) Restricted share units convert into Common Stock on a one-to-one basis.
  - Performance Share Units granted as a performance award, vesting based upon degree of acheivement of performance goal. At the end of
- (2) the performance period, 50% of award is paid in common shares free of restrictions, and 50% is paid in cash. If the final amount is less than 100% of the share units, the balance is forfeited to the company.
- (3) Represent phantom shares awarded under the Company's Supplemental Defined Contribution Plan for Executive Employees.
- (4) The date reflected above as the Date Exercisable is the scheduled vesting date of the Restricted Share Units. Once vested, settlement of the Restricted Share Units and delivery of common shares is subject to an additional two-year holding period.

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.

Signatures 4