Edgar Filing: PERMA FIX ENVIRONMENTAL SERVICES INC - Form 4

PERMA FIX ENVIRONMENTAL SERVICES INC

Form 4

October 02, 2013

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

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OMB APPROVAL

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

obligations

may continue.

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

See Instruction 1(b).

(Print or Type Responses)

Young Charles E Sy PE		Symbol PERM	er Name and Ticker or Trading A FIX ENVIRONMENTAL ICES INC [pesi]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)		
(Last) 1060 CAST			of Earliest Transaction Day/Year) 2013	X Director 10% Owner Other (specify below)		
SONOMA,	(Street) . CA 95476		nendment, Date Original onth/Day/Year)	6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person		
(City)	(State) (Z	Zip) Tak	ble I - Non-Derivative Securities Ac	quired, Disposed of, or Beneficially Owned		
1.Title of Security (Instr. 3)	•	2A. Deemed Execution Date, if any (Month/Day/Year)	(A) or Code V Amount (D) Price	Securities Ownership Indirect Beneficially Form: Beneficial Owned Direct (D) Ownership Following or Indirect (Instr. 4) Reported (I) Transaction(s) (Instr. 4) (Instr. 3 and 4)		
Common Stock	10/01/2013		A 11,232 A \$ 0.549	₀₈ 148,373 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)

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8. Price Deriva Securit (Instr.

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. Transacti Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Expiration D (Month/Day/ e	6. Date Exercisable and Expiration Date Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option	\$ 1.7					<u>(1)</u>	07/28/2014	Common Stock	12,000	
Stock Option	\$ 1.84					(2)	07/27/2015	Common Stock	12,000	
Stock Option	\$ 2.15					(3)	07/27/2016	Common Stock	12,000	
Stock Option	\$ 2.95					<u>(4)</u>	08/02/2017	Common Stock	12,000	
Stock Option	\$ 2.34					<u>(5)</u>	08/05/2018	Common Stock	12,000	
Stock Option	\$ 2.67					<u>(6)</u>	07/29/2019	Common Stock	12,000	
Stock Option	\$ 1.68					<u>(7)</u>	09/29/2020	Common Stock	12,000	
Stock Option	\$ 1.41					(8)	08/24/2021	Common Stock	12,000	
Stock Option	\$ 1.1					<u>(9)</u>	09/13/2022	Common Stock	12,000	
Stock Option	\$ 0.557					(10)	09/12/2023	Common Stock	12,000	

Reporting Owners

Reporting Owner Name / Address	Relationships					
r g	Director	10% Owner	Officer	Other		
Young Charles E						
1060 CASTLE RD	X					
SONOMA, CA 95476						

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Signatures

/s/Charles E. Young 10/01/2013

**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 07/28/04 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (2) Stock Option granted 07/27/05 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (3) Stock Option granted 07/27/06 under the Company's 2003 Outside Directors Stock Plan. The Options vest fully six months from date of grant.
- (4) 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.
- (5) 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.
- (6) 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.
- (7) 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.
- (8) 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.
- (9) 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.
- (10) 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.

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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