

GLOBE SPECIALTY METALS INC

Form 4

December 24, 2015

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

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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 \*  
Ragan Joseph Douglas III

2. Issuer Name **and** Ticker or Trading  
Symbol  
GLOBE SPECIALTY METALS  
INC [GSM]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction  
(Month/Day/Year)  
12/23/2015

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_\_\_X\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)  
Chief Financial Officer

C/O GLOBE SPECIALTY  
METALS, INC., 600 BRICKELL  
AVENUE, SUITE 3100

(Street)

4. If Amendment, Date Original  
Filed(Month/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

MIAMI, FL 33131

(City) (State) (Zip)

**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	(D)	Price

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

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SEC 1474  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned  
(e.g., puts, calls, warrants, options, convertible securities)**

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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 Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount Underlying Security (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount Number Share
Stock Option	\$ 12.54	12/23/2015		D		191,761		<u>(1)</u>	08/20/2018	Common Stock	191,761
Restricted Stock Unit	<u>(3)</u>	12/23/2015		D		1,875		<u>(1)</u>	<u>(1)</u>	Common Stock	1,875
Restricted Stock Unit	<u>(3)</u>	12/23/2015		D		874		<u>(1)</u>	<u>(1)</u>	Common Stock	874
Restricted Stock Unit	<u>(3)</u>	12/23/2015		D		4,743		<u>(1)</u>	<u>(1)</u>	Common Stock	4,743
Restricted Stock Unit	<u>(3)</u>	12/23/2015		D		1,566		<u>(1)</u>	<u>(1)</u>	Common Stock	1,566
Stock Appreciation Right	\$ 21.36 <u>(4)</u>	12/23/2015		D		56,040		<u>(1)</u>	03/20/2019	Common Stock	56,040
Stock Appreciation Right	\$ 21.17 <u>(4)</u>	12/23/2015		D		10,000		<u>(1)</u>	04/24/2020	Common Stock	10,000
Stock Appreciation Right	\$ 9.18 <u>(4)</u>	12/23/2015		D		25,000		<u>(1)</u>	12/11/2020	Common Stock	25,000

## Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
Ragan Joseph Douglas III C/O GLOBE SPECIALTY METALS, INC. 600 BRICKELL AVENUE, SUITE 3100 MIAMI, FL 33131	Chief Financial Officer

## Signatures

/s/ Stephen  
Lebowitz 12/24/2015

\*\*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 awards vest and become exercisable in thirds on the first, second and third anniversary of the original grant date (subject to acceleration in certain circumstances).
- (2) These awards were cancelled in a merger pursuant to a business combination agreement by, among others, issuer, Grupo Villar Mir, S.A., and Grupo FerroAtlantica, S.A. in exchange for awards on the same terms for shares of FerroGlobe PLC common stock.
- (3) Each restricted stock unit represents the right to receive cash in an amount equal to the fair market value of one share of common stock, on the date of vesting of the subject restricted stock unit.

- Each stock appreciation right represents the right to receive cash in an amount equal to the difference obtained by subtracting the exercise price from the fair market value of one share of the company's common stock, as of the date of exercise of the subject stock appreciation right.
- (4)

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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