

CABOT CORP
Form 4
November 15, 2016

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

OMB APPROVAL

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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 *
von Gottberg Friedrich

2. Issuer Name and Ticker or Trading Symbol
CABOT CORP [CBT]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
11/11/2016

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)

Senior Vice President

C/O CABOT CORPORATION, TWO SEAPORT LANE, SUITE 1300

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)

Form filed by One Reporting Person
 Form filed by More than One Reporting Person

BOSTON, MA 02210

(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 (A) or Price (D) | | | | |
| Common Stock | 11/11/2016 | | A | | 4,161 | A | \$ 0 26,207 | D | |
| Common Stock | 11/14/2016 | | M | | 19,553 | A | \$ 32.95 45,760 | D | |
| Common Stock | 11/14/2016 | | S | | 19,553 | D | \$ 51.05 26,207 | D | |
| Common Stock | | | | | | | 15,204 ⁽²⁾ | I | Through the Trustee for the |

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

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(9-02)

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. 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 of Underlying Securities (Instr. 3 and 4) | |
|---|--|---|---|--------------------------------------|--|--|---|-------------------------------------|
| | | | | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| | | | | V (A) (D) | | | | |
| Employee Stock Option (Right to Buy) | \$ 50.46 | 11/11/2016 | | A | 19,245 | <u>(3)</u> 11/10/2026 | Common Stock | 19,245 |
| Employee Stock Option (Right to Buy) | \$ 32.95 | 11/14/2016 | | M | 19,553 | <u>(4)</u> 11/10/2021 | Common Stock | 19,553 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-----------------------|-------|
| | Director | 10% Owner | Officer | Other |
| von Gottberg Friedrich C/O CABOT CORPORATION TWO SEAPORT LANE, SUITE 1300 BOSTON, MA 02210 | | | Senior Vice President | |

Signatures

By: Kristine L. Ouimet, pursuant to a power of attorney from Friedrich von Gottberg 11/15/2016

__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).

- The price reported is a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$51.00 to
- (1) \$51.19, inclusive. The reporting person undertakes to provide to the staff of the Securities and Exchange Commission, the Corporation or any security holder of the Corporation, upon request, full information regarding the number of shares sold at each separate price.
 - (2) Reflects retirement plan contributions by the Corporation, including contributions that have occurred since the date of the reporting person's last ownership report.
 - (3) The option vests over a three year period as follows: 30% on November 11, 2017, 30% on November 11, 2018 and 40% on November 11, 2019.
 - (4) 19,553 shares were subject to the option. The option vested over a three year period as follows: 30% November 11, 2012, 30% November 11, 2013 and 40% November 11, 2014.

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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