Noranda Aluminum Holding CORP

Form 4

December 09, 2015

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

**OMB APPROVAL** 

**OMB** 3235-0287 Number:

January 31, Expires: 2005

> 10% Owner Other (specify

0.5

Estimated average burden hours per

response...

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)

1. Name and Address of Reporting Person \*

Costa Julio C D

2. Issuer Name and Ticker or Trading

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

Symbol

Noranda Aluminum Holding CORP

[NOR]

(Last) (First) (Middle)

(Month/Day/Year)

801 CRESCENT CENTRE DRIVE -12/07/2015

SUITE 600

(City)

(Instr. 3)

(Street) 4. If Amendment, Date Original

Filed(Month/Day/Year)

3. Date of Earliest Transaction

6. Individual or Joint/Group Filing(Check

Applicable Line)

Director

X\_ Officer (give title

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

5. Relationship of Reporting Person(s) to

(Check all applicable)

Bauxite and Alumina Bus. Pres.

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Issuer

below)

FRANKLIN, TN 37067

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if

(State)

(Month/Day/Year)

(Zip)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial Ownership (I) (Instr. 4) (Instr. 4)

Reported (A) Transaction(s) or (Instr. 3 and 4)

Code V Amount (D) Price

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

SEC 1474 (9-02)

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

1. Title of Derivative Conversion 3. Transaction Date 3A. Deemed (Month/Day/Year) Execution Date, if

5. Number Transactionof

6. Date Exercisable and **Expiration Date** 

7. Title and Amount of 8. Underlying Securities

## Edgar Filing: Noranda Aluminum Holding CORP - Form 4

Security (Instr. 3)	or Exercise Price of Derivative Security		any (Month/Day/Year)	Code Derivative (Instr. 8) Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		es d d	(Month/Day/Year)		(Instr. 3 and 4)		(
				Code V	(Α) (Γ	/	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Restricted Stock	<u>(1)</u>	12/07/2015		D(2)	0.5	57	(3)	07/01/2018	Common stock	0.57	

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Costa Julio C D

801 CRESCENT CENTRE DRIVE - SUITE 600 Barranklin, TN 37067

Bauxite and Alumina Bus. Pres.

(In

**Signatures** 

Gail E. Lehman, Attorney in Fact for Julio C. D. Costa 12/09/2015

\*\*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) Each share of restricted stock is the economic equivalent of one share of Issuer's common stock.
- Each of the fractional shares of restricted stock were cancelled by the Issuer on December 7, 2015 in exchange for a cash payment equal to the fraction multiplied by \$0.59, the closing market price per share of the Issuer's common stock as reported by OTC Pink Marketplace on December 7, 2015.
- The reported transaction relates to shares of restricted stock granted on July 1, 2015. One-fourth of the outstanding shares of restricted stock will vest on each of July 1, 2016 and July 1, 2017, and the remaining one-half of the outstanding shares of restricted stock will vest on July 1, 2018.

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.

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