

GINGO JOSEPH M
Form 4
August 22, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

Check this box 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 *
GINGO JOSEPH M

(Last) (First) (Middle)
3637 RIDGEWOOD ROAD
(Street)

FAIRLAWN, OH 44333

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
SCHULMAN A INC [SHLM]

3. Date of Earliest Transaction
(Month/Day/Year)
08/21/2018

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
President & CEO

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

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 Ownership (Instr. 4)
			Code	V	Amount (A) or (D) Price (2)		
Common Stock	08/21/2018		D		296,783 (1) \$ 42 (2) 0	D	
Common Stock	08/21/2018		D		10,000 (3) \$ 42 (3) 0	I	By Joseph M. Gingo Trust
Common Stock	08/21/2018		D		17,500 (4) \$ 42 (4) 0	I	By Linda L. Gingo Trust

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

SEC 1474 (9-02)

Edgar Filing: GINGO JOSEPH M - Form 4

subsidiary and the related government investigations. Reporting person will receive 296,783 CVRs.

- (3) In addition to the cash consideration, the Joseph M. Gingo Trust also received 10,000 CVRs.
- (4) In addition to the cash consideration, the Linda L. Gingo Trust also received 17,500 CVRs.
- (5) Pursuant to the Merger Agreement, all outstanding options were settled for merger consideration equal to \$42.00 less the exercise price of the option and one CVR for each share of common stock underlying the option.
- (6) In addition to the cash consideration, the reporting person also received 43,750 CVRs.
- (7) In addition to the cash consideration, the reporting person also received 34,680 CVRs.

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.