SCHULMAN A INC

Form 4 July 03, 2014

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

30(h) of the Investment Company Act of 1940

**OMB** 

**OMB APPROVAL** 

3235-0287 Number:

Expires:

January 31, 2005

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response... 0.5

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

**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

may continue. See Instruction

1(b).

obligations

(Print or Type Responses)

1. Name and Address of Reporting Person * MITAROTONDA JAMES A			2. Issuer Name <b>and</b> Ticker or Trading Symbol SCHULMAN A INC [SHLM]	5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)				
(Last) (First)	(First)	(Middle)	3. Date of Earliest Transaction	(eneck an applicable)				
C/O BARINGTON CAPITAL GROUP, L.P., 888 SEVENTH AVENUE, 17TH FLOOR			(Month/Day/Year) 07/01/2014	X Director 10% Owner Officer (give title below) Other (specify below)				
(Street)			4. If Amendment, Date Original	6. Individual or Joint/Group Filing(Check				
NEW YORK, NY 10019			Filed(Month/Day/Year)	Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person				

(City)	(State)	(Zip)	Table I - N	on-Derivative Securities Ac	quired, Disposed	of, or E	enefic	ially Owned
1.Title of	2. Transaction Date	2A. Deemed	3.	4. Securities Acquired	5. Amount of	6.		7. Nature of
α	(N. f. d. fD) (N. f. )	Б .: Б.	· c	(' (A) D' 1 C(D)	α	_	1 .	T 11 .

1.Title of	2. Transaction Date	2A. Deemed	3.	4. Securit	ties A	cquired	5. Amount of	6.	7. Nature of
Security	(Month/Day/Year)	Transactio	on(A) or Disposed of (D)			Securities	Ownership	Indirect	
(Instr. 3)		any	Code	(Instr. 3, 4 and 5)			Beneficially	Form:	Beneficial
		(Month/Day/Year)	(Instr. 8)			Owned	Direct (D)	Ownership	
							Following	or Indirect	(Instr. 4)
					(A)		Reported	(I)	
					(A)		Transaction(s)	(Instr. 4)	
			Code V	A manuant	or (D)	Price	(Instr. 3 and 4)		
<b>C</b>			Code v	Amount	(D)				
Common	07/01/2014		$A_{(1)}$	136	A	\$	25,467	D	
Stock						36.79	,		
									Dv
									By
									Barington
Common							200.070	_	Companies
Stock							208,078	I	Equity
Brock									Equity

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

Partners,  $L.P_{(2)(3)}$ 

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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)

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. Transact Code (Instr. 8)	5. ionNumber of Derivativ Securities Acquired (A) or Disposed of (D)	S	ate	Secur	ınt of rlying	Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
				Code V	(Instr. 3, 4, and 5)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

## **Reporting Owners**

Relationships Reporting Owner Name / Address

> Director 10% Owner Officer Other

MITAROTONDA JAMES A C/O BARINGTON CAPITAL GROUP, L.P. 888 SEVENTH AVENUE, 17TH FLOOR NEW YORK, NY 10019

X

**Signatures** 

/s/ James A. 07/03/2014 Mitarotonda

\*\*Signature of Reporting Date Person

# **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).
- Shares acquired by the reporting person in accordance with the provisions of the A. Schulman, Inc. Executives and Directors Stock **(1)** Ownership Guidelines Compliance Program.
- The Reporting Person's relationship to Barington Companies Equity Partners, L.P. is described in this footnote. The Reporting Person is the sole stockholder and director of LNA Capital Corp., which is the general partner of Barington Capital Group, L.P., which is the **(2)** majority member of Barington Companies Investors, LLC. Barington Companies Investors, LLC is the general partner of Barington Companies Equity Partners, L.P.
- (3) The Reporting Person disclaims beneficial ownership of these securities, except to the extent of his pecuniary interest therein, and this report shall not be deemed to be an admission that the Reporting Person is the beneficial owner of these securities for purposes of Section

Reporting Owners 2

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16 or for any other purpose.

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.