#### Edgar Filing: ALLIANCE ONE INTERNATIONAL, INC. - Form 3

ALLIANCE ONE INTERNATIONAL, INC.

Form 3 July 10, 2014

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement ALLIANCE ONE INTERNATIONAL, INC. [AOI] Kayes Graham J (Month/Day/Year) 07/01/2014 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O ALLIANCE ONE INT'L (Check all applicable) INC., Â 8001 AERIAL CENTER **PARKWAY** 10% Owner Director (Street) \_X\_\_ Officer Other 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) **EVP BRM & LEAF** \_X\_ Form filed by One Reporting Person MORRISVILLE. NCÂ 27560 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 3. 4. Nature of Indirect Beneficial Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Common Stock (Direct) 31,073 D Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly.

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

1. Title of Derivative Security 2. Date Exercisable and 3. Title and Amount of 6. Nature of 4. 5. **Expiration Date** Securities Underlying Ownership Indirect Beneficial (Instr. 4) Conversion (Month/Day/Year) **Derivative Security** or Exercise Form of Ownership (Instr. 4) Price of Derivative (Instr. 5) Derivative Security:

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (right-to-buy)	08/30/2008	08/30/2015	Common Stock (Direct)	1,875	\$ 3.96	D	Â
Stock Option (right-to-buy)	08/17/2009	08/17/2016	Common Stock (Direct)	2,500	\$ 3.94	D	Â
Stock Option (right-to-buy)	08/16/2010	08/16/2017	Common Stock (Direct)	8,900	\$ 7.48	D	Â
Stock Option (right-to-buy)	03/24/2014(1)	03/24/2021	Common Stock (Direct)	100,000	\$ 6	D	Â
Stock Option (right-to-buy)	04/17/2014(2)	04/17/2022	Common Stock (Direct)	100,000	\$ 6	D	Â
Restricted Stock Units (3)	(4)	(4)	Common Stock (Direct)	16,666	\$ <u>(4)</u>	D	Â
Restricted Stock Units (3)	(5)	(5)	Common Stock (Direct)	35,000	\$ <u>(5)</u>	D	Â

### **Reporting Owners**

Reporting Owner Name / Address	Relationships				
• 0	Director	10% Owner	Officer	Other	
Kayes Graham J C/O ALLIANCE ONE INT'L INC. 8001 AERIAL CENTER PARKWAY MORRISVILLE, NC 27560	Â	Â	EVP BRM & LEAF	Â	

## **Signatures**

LAURA D. JONES, ATTORNEY-IN-FACT 07/10/2014

\*\*Signature of Reporting Person Date

### **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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 shares underlying this option became exercisable three-fifth on this date, and the remaining underlying shares become exercisable one-fifth annually thereafter.

Reporting Owners 2

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- (2) The shares underlying this option became exercisable two-fifths on this date, and the remaining underlying shares become exercisable one-fifth annually thereafter.
- (3) Each restricted stock unit represents a contingent right to receive one share of Alliance One International, Inc. common stock. Shares awarded under the Alliance One International, Inc. Long-Term Incentive Plan.
- Originally awarded 25,000 Restricted Stock Units, of which 8,334 vested on June 12, 2014. The remaining shares vest 50% on June 12, 2015 and 50% on June 12, 2016.
- (5) The restricted stock units vest one-third on each of the three anniversaries of June 16, 2014, the date of grant.

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.