

Rockwood Holdings, Inc.  
Form 4  
August 09, 2013

**FORM 4**

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

OMB APPROVAL

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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 \*  
Riordan Thomas

(Last) (First) (Middle)

C/O ROCKWOOD HOLDINGS, INC., 100 OVERLOOK CENTER

(Street)

PRINCETON, NJ 08540

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
Rockwood Holdings, Inc. [ROC]

3. Date of Earliest Transaction (Month/Day/Year)  
08/08/2013

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)  
Sen VP, Law & Administration

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: Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
|                                 |                                      |  | Code                           | V   | Amount or (D) Price   |  |  |
| Common Stock, par value \$0.01  | 08/08/2013                           |  | M                              |   | 15,536 A \$ 31.73   | 134,574  | D  |
| Common Stock, par value \$0.01  | 08/08/2013                           |  | M                              |   | 21,641 A \$ 32.39   | 156,215  | D  |
| Common Stock, par value \$0.01  | 08/08/2013                           |  | M                              |   | 14,447 A \$ 23.79   | 170,662  | D  |

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|   |            |   |        |   |                            |         |   |
|---|------------|---|--------|---|----------------------------|---------|---|
| Common<br>Stock, par<br>value<br>\$0.01 | 08/08/2013 | S | 15,536 | D | \$<br>65.505<br><u>(1)</u> | 155,126 | D |
| Common<br>Stock, par<br>value<br>\$0.01 | 08/08/2013 | S | 21,641 | D | \$<br>65.501<br><u>(2)</u> | 133,485 | D |
| Common<br>Stock, par<br>value<br>\$0.01 | 08/08/2013 | S | 14,447 | D | \$ 65.51<br><u>(3)</u>     | 119,038 | D |

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<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) | 8. Amount<br>or<br>Number<br>of Shares               |        |
|---|--|---|---|--------------------------------------|--|--|---|--|--------|
|   |  |   |   | Code                                 | V (A) (D)  | Date<br>Exercisable  | Expiration<br>Date  | Title  |        |
| Stock<br>Options<br>(right to<br>buy)               | \$ 31.73   | 08/08/2013                              |   | M                                    | 15,536   | <u>(4)</u>   | 05/16/2014  | Common<br>Stock, par<br>value<br>\$0.01 per<br>share | 15,536 |
| Stock<br>Options<br>(right to<br>buy)               | \$ 32.39   | 08/08/2013                              |   | M                                    | 21,641   | <u>(5)</u>   | 12/14/2014  | Common<br>Stock, par<br>value<br>\$0.01 per<br>share | 21,641 |
| Stock<br>Options<br>(right to<br>buy)               | \$ 23.79   | 08/08/2013                              |   | M                                    | 14,447   | <u>(6)</u>   | 12/11/2016  | Common<br>Stock, par<br>value<br>\$0.01 per<br>share | 14,447 |

# Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                              |       |
|---|---------------|-----------|------------------------------|-------|
|   | Director      | 10% Owner | Officer                      | Other |
| Riordan Thomas<br>C/O ROCKWOOD HOLDINGS, INC.<br>100 OVERLOOK CENTER<br>PRINCETON, NJ 08540 |               |           | Sen VP, Law & Administration |       |

# Signatures

/s/ Thomas J. Riordan                      08/09/2013

\*\*Signature of                      Date  
Reporting 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).
  - (1) The price reported above reflects the weighted average sale price for price increments ranging from \$65.50 to \$65.565. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares and prices at which the transaction was effected.
  - (2) The price reported above reflects the weighted average sale price for price increments ranging from \$65.50 to \$65.550. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares and prices at which the transaction was effected.
  - (3) The price reported above reflects the weighted average sale price for price increments ranging from \$65.50 to \$65.553. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer, full information regarding the number of shares and prices at which the transaction was effected.
  - (4) These time-based options were granted on May 16, 2007 and vested in three equal annual installments beginning on December 31, 2008.
  - (5) These time-based options were granted on December 14, 2007 and vested in three equal annual installments beginning on December 31, 2008.
  - (6) These time-based options were granted on December 11, 2009 and vested in three equal annual installments beginning on December 31, 2010.

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.