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

#### ALLIANCE ONE INTERNATIONAL, INC.

Form 3

January 08, 2014

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, response... 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] Fink Nichlas A (Month/Day/Year) 01/01/2014 (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 \_X\_\_ Officer (Street) Other 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) VP- Corp. Controller & CCO \_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) 2,595 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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information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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

3. Title and Amount of 5. 6. Nature of 1. Title of Derivative Security 2. Date Exercisable and 4. **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)	03/24/2012(1)	03/24/2021	Common Stock (Direct)	10,000	\$ 6	D	Â
Stock Option (right-to-buy)	04/17/2013(2)	04/17/2022	Common Stock (Direct)	40,000	\$ 6	D	Â
Restricted Stock Units	06/12/2014	(3)	Common Stock (Direct)	6,000	\$ <u>(4)</u>	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Fink Nichlas A C/O ALLIANCE ONE INT'L INC. 8001 AERIAL CENTER PARKWAY MORRISVILLE Â NCÂ 27560	Â	Â	VP- Corp. Controller & CCO	Â		

## **Signatures**

LAURA D. JONES, ATTORNEY-IN-FACT

01/08/2014

\*\*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 one-fifth on this date, and the remaining underlying shares become exercisable one-fifth annually thereafter.
- (2) The shares underlying this option become exercisable one-fifth on each of the five anniversaries of April 17, 2013, the date of grant, subject to continued employment or termination of employment due to retirement.
- (3) Shares awarded under the Alliance One International, Inc. Long-Term Incentive Plan. 3-year cliff vesting: 100% at third anniversary of 6/12/14, the date of grant.
- (4) Each restricted stock unit represents a contingent right to receive one share of Alliance One International, Inc. common stock.

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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