Maura David M Form 3 July 17, 2018

## FORM 3

#### 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 response...

INITIAL STATEMENT OF 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 \*

Maura David M

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

07/13/2018

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Spectrum Brands Holdings, Inc. [SPB]

> 4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O SPECTRUM BRANDS HOLDINGS, INC., Â 3001

**DEMING WAY** 

1. Title of Security

(Instr. 4)

(Street)

(Check all applicable) 10% Owner \_X\_ Director

\_X\_ Officer Other (give title below) (specify below) Executive Chairman and CEO 6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

MIDDLETON, WIÂ 53562

(City) (State) (Zip)

> 2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial

Ownership Form: (Instr. 5)

Direct (D) or Indirect (I)

(Instr. 5)

Â Common Stock 156,021 (1) D

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

SEC 1473 (7-02)

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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 (Instr. 4)

**Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

4. 5. Conversion Ownership or Exercise Form of Price of Derivative

6. Nature of Indirect Beneficial

Derivative Security: Ownership

(Instr. 5)

#### Edgar Filing: Maura David M - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	(2)	11/29/2022(3)	Common Stock	70,294 (1)	\$ 52.84 (4)	D	Â
Employee Stock Option (Right to Buy)	(2)	12/02/2023(3)	Common Stock	64,142 (1)	\$ 72.93 (4)	D	Â
Employee Stock Option (Right to Buy)	(2)	11/25/2024(3)	Common Stock	26,743 (1)	\$ 82.86 (4)	D	Â
Employee Stock Option (Right to Buy)	(2)	11/24/2025(3)	Common Stock	1,164 (1)	\$ 86.39 (4)	D	Â
Employee Stock Option (Right to Buy)	(2)	12/14/2026(3)	Common Stock	51,309 (1)	\$ 95.44 (4)	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Maura David M C/O SPECTRUM BRANDS HOLDINGS, INC. 3001 DEMING WAY MIDDLETON, WI 53562	ÂX	Â	Executive Chairman and CEO	Â		

## **Signatures**

/s/ Nathan E. Fagre, Attorney-in-Fact 07/17/2018

\*\*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).
  - In connection with a merger (the "Merger"), pursuant to which Spectrum Brands Legacy, Inc. (f/k/a Spectrum Brands Holdings, Inc.)
- (1) became a direct subsidiary of the Issuer, each share of common stock of the Issuer (the "Issuer Shares") was combined into 0.1613 Issuer Shares as a result of a reverse stock split (the "Reverse Stock Split").
- (2) The employee stock options reported on this line are vested and exercisable.
- The options reported on this line expire on the tenth anniversary of the date of grant, except as set forth in the Separation and Release (3) Agreement, dated as of November 28, 2016, by and between HRG Group, Inc. (predecessor to the Issuer) and the reporting person (as filed as Exhibit 10.2 to Amendment No.1 to the Annual Report on Form 10-K, filed January 27, 2017).
- (4) The exercise price of each employee stock option held by the reporting person was recalculated in connection with the Merger. The pre-Merger exercise prices were divided by the Reverse Stock Split ratio of 0.1613.

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#### **Remarks:**

### Exhibit 24.1: Power of Attorney

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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