Calumet Specialty Products Partners, L.P.

Form 3

January 09, 2017

# FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

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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

Person \*

A Griffin David West

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

01/05/2017

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Calumet Specialty Products Partners, L.P. [CLMT]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

1021 MAIN (ONE CITY CENTRE), SUITE 2626

(Street)

(Check all applicable)

Director \_X\_\_ Officer Other

EVP and CFO

10% Owner (give title below) (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

4. Nature of Indirect Beneficial

HOUSTON, TXÂ 77002

(City) (State) (Zip)

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership

Table I - Non-Derivative Securities Beneficially Owned

Form: Direct (D)

or Indirect (I) (Instr. 5)

Ownership

(Instr. 5)

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 (Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

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

4. Conversion or Exercise Price of

5. Ownership Form of Derivative Security:

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Date Expiration Exercisable Date

Title

Amount or Number of Shares

Derivative Security

Direct (D) or Indirect (I)

(Instr. 5)

Phantom Units  $\hat{A} = \frac{(1)}{12/31/2020} = \frac{\text{Common}}{\text{Units}} = \frac{250,000}{(1)} = \$ \frac{(2)}{2} = 0$   $\hat{A} = \frac{(2)}{12/31/2020} = \frac{(2)}{12/31/2020} = 0$ 

### **Reporting Owners**

\*\*Signature of Reporting Person

Relationships Reporting Owner Name / Address 10% Owner Officer Other Director Griffin David West EVP 1021 MAIN (ONE CITY CENTRE) Â Â Â and **SUITE 2626 CFO** HOUSTON, TXÂ 77002

## **Signatures**

R. Patrick Murray, as attorney-in-fact 01/09/2017

#### **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).
  - 62,500 Phantom Units will vest at such time that Calumet Specialty Products Partners, L.P. (the "Partnership") commences distributions to unitholders. An additional 62,500 Phantom Units will vest at such time, if at all, that the average daily closing price of the Partnership's
- (1) Common Units on the NASDAQ Stock Market LLC ("NASDAQ") during any 120 consecutive calendar day period averages \$8 per Common Unit. An additional 125,000 Phantom Units will vest at such time, if at all, that the average daily closing price of the Partnership's Common Units on the NASDAQ during any 120 consecutive calendar day period averages \$16 per Common Unit.
- (2) Each Phantom Unit is the economic equivalent of a Calumet Specialty Products Partners, L.P. Common Unit.

Date

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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