

CTI INDUSTRIES CORP

Form 4

December 06, 2012

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Collins John I

(Last) (First) (Middle)

22160 NORTH PEPER ROAD

(Street)

BARRINGTON, IL 60010

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

CTI INDUSTRIES CORP [CTIB]

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

11/30/2012

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)

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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------------|---|---|--------------------------------------|--|--|--|---|
| | | | Code | V | Amount | (D) | Price |

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

**Persons who respond to the collection of
information contained in this form are not
required to respond unless the form
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SEC 1474
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)**

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount Underlying Security (Instr. 3 and 4) |
|---|--|---|---|--------------------------------------|--|--|--|
| | | | | | | | |

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| | Derivative Security | | Code | V | (A) or Disposed of (D) (Instr. 3, 4, and 5) | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
|---|---------------------|------------|------|---|---|-----|------------------|-----------------|--------------|----------------------------|
| | | | | | (A) | (D) | | | | |
| Non-Qualified Stock Option Grant - Right to Buy | \$ 5.17 | 11/30/2012 | A | | 1,000 | | 05/30/2013 | 11/30/2017 | Common Stock | 1,000 |
| Non-Qualified Stock Option Grant - Right to Buy | \$ 5.17 | 11/30/2012 | A | | 1,000 | | 05/30/2014 | 11/30/2017 | Common Stock | 1,000 |
| Non-Qualified Stock Option Grant - Right to Buy | \$ 5.17 | 11/30/2012 | A | | 1,000 | | 05/30/2015 | 11/30/2017 | Common Stock | 1,000 |
| Non-Qualified Stock Option Grant - Right to Buy | \$ 5.17 | 11/30/2012 | A | | 1,000 | | 05/30/2016 | 11/30/2017 | Common Stock | 1,000 |
| Non-Qualified Stock Option Grant - Right to Buy | \$ 5.17 | 11/30/2012 | A | | 1,000 | | 05/30/2017 | 11/30/2017 | Common Stock | 1,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Collins John I 22160 NORTH PEPER ROAD BARRINGTON, IL 60010 | X | | | |

Signatures

Jonathan K. Miller, Attorney in Fact John I. Collins 12/05/2012

**Signature of Reporting Person

Date

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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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