

ROSENBAUM LEONARD A
Form 4
September 08, 2011

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
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(Print or Type Responses)

1. Name and Address of Reporting Person *
ROSENBAUM LEONARD A

(Last) (First) (Middle)

C/O CVD EQUIPMENT
CORPORATION, 1860
SMITHTOWN AVE

(Street)

RONKONKOMA, NY 11779

(City) (State) (Zip)

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

CVD EQUIPMENT CORP [CVV]

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

09/06/2011

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)
CEO, President

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 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	(A) or (D)	Price
Common Stock	09/06/2011		S		1,000	D	\$ 17.61 (1)
Common Stock	09/06/2011		S		16,800	D	\$ 18.18 (2)
Common Stock	09/06/2011		S		3,200	D	\$ 18.54 (3)
Common	09/06/2011		S		30,130	D	\$ 1,201,600

Stock					19.08 (4)		
Common Stock	09/07/2011	S	1,000	D	\$ 18.71 (5)	1,200,600	D
Common Stock	09/07/2011	S	23,150	D	\$ 18.98 (6)	1,177,450	D
Common Stock	09/08/2011	S	1,000	D	\$ 17.78 (7)	1,176,450	D
Common Stock	09/08/2011	S	1,000	D	\$ 18.5 (8)	1,175,450	D

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

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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 Derivative Security	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 (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Owned Following Reported Transaction (Instr. 6)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ROSENBAUM LEONARD A C/O CVD EQUIPMENT CORPORATION 1860 SMITHTOWN AVE RONKONKOMA, NY 11779	X		CEO, President	

Signatures

Leonard A.
Rosenbaum

09/08/2011

**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).

(1) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$17.50 to \$17.69. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected. These sales were made pursuant to a 10b5-1 Plan.

(2) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$17.49 to \$18.49. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected. These sales were made pursuant to a 10b5-1 Plan.

(3) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$18.50 to \$18.64. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected. These sales were made pursuant to a 10b5-1 Plan.

(4) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$18.50 to \$19.40. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected.

(5) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$18.59 to \$18.87. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected. These sales were made pursuant to a 10b5-1 Plan.

(6) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$18.76 to \$19.30. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected.

(7) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$17.65 to \$17.91. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected. These sales were made pursuant to a 10b5-1 Plan.

(8) This sale was made pursuant to a 10b5-1 Plan.

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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