

COLUMBUS MCKINNON CORP
Form 4
May 21, 2014

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Steinberg Richard A

2. Issuer Name and Ticker or Trading Symbol
COLUMBUS MCKINNON CORP
[CMCO]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
05/19/2014

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
V.P. - Human Resources

140 JOHN JAMES AUDUBON PARKWAY

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

AMHERST, NY 14228-1197

(City) (State) (Zip)

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 (A) or (D) Price | | | |
| Common Stock | | | | | 10,270 | D | |
| Common Stock | 05/19/2014 | | F | 155 ⁽¹⁾ D \$ 27.12 | 10,115 | D | |
| Common Stock | 05/19/2014 | | A | 1,309 ⁽²⁾ A \$ 27.12 | 11,424 | D | |
| Common Stock | 05/19/2014 | | A | 2,741 ⁽³⁾ A \$ 0 | 14,165 ⁽⁴⁾ | D | |
| Common Stock | | | | | 470,755.4809 | I | Additional shares held by |

ESOP;
reporting
person is 1 of
3 trustees;
DISCLAIMS
beneficial
ownership.

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

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(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 Security (Instr. 3 and 4) | Amount or Number of Shares | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Incentive Stock Options (Right to Buy) | \$ 21.61 | | | | | 10/16/2006 | 10/15/2015 | Common Stock | 45,000 |
| Incentive Stock Options (Right to Buy) | \$ 28.45 | | | | | 05/19/2009 | 05/18/2018 | Common Stock | 1,300 |
| Non-Qualified Stock Options (Right to Buy) | \$ 13.27 | | | | | 05/18/2010 | 05/17/2019 | Common Stock | 3,800 |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.24 | | | | | 05/17/2011 | 05/16/2020 | Common Stock | 2,700 |
| Non-Qualified Stock Options (Right to Buy) | \$ 19.5 | | | | | 05/23/2012 | 05/22/2021 | Common Stock | 2,600 |
| Non-Qualified Stock Options (Right to Buy) | \$ 13.43 | | | | | 05/21/2013 | 05/20/2022 | Common Stock | 4,500 |

| | | | | | | | | |
|--|----------|------------|---|-------|------------|------------|-----------------|------------|
| Non-Qualified Stock Options (Right to Buy) | \$ 18.95 | | | | 05/20/2014 | 05/20/2023 | Common Stock | 3,7 (1) |
| Non-Qualified Stock Options (Right to Buy) | \$ 27.12 | 05/19/2014 | A | 1,309 | 05/19/2015 | 05/19/2024 | Common Stock | 1,3 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Steinberg Richard A 140 JOHN JAMES AUDUBON PARKWAY AMHERST, NY 14228-1197 | | | V.P. - Human Resources | |

Signatures

Richard A. Steinberg 05/21/2014

**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) Represents shares withheld to satisfy tax withholding obligation upon vesting 368 restricted stock units on 5/17/2014.
Represents restricted stock units issued to reporting person under the Columbus McKinnon Corporation 2010 Long Term Incentive Plan dated as of July 26, 2010, subject to forfeiture in whole or part, become fully vested and non-forfeitable 25% per year for four years beginning 5/19/2015, if reporting person remains an employee of issuer.
- (3) Represents performance shares issued to reporting person under the Columbus McKinnon Corporation 2010 Long Term Incentive Plan dated as of July 26, 2010. 1,668 units become fully vested and non-forfeitable on 5/23/2014 and the remaining 1,073 units become fully vested and non-forfeitable on 5/20/2016, if reporting person remains an employee of issuer.
- (4) Includes 7,861 shares of restricted stock issued to reporting person subject to forfeiture in whole or part: 711 shares become fully vested and non-forfeitable 50% per year for two years beginning 5/23/2014, 1,694 shares become fully vested and non-forfeitable 33.33% per year for three years beginning 5/21/2014, 1,788 shares become fully vested and non-forfeitable 25% per year for four years beginning 5/20/2014; 2,359 shares become fully vested and non-forfeitable 25% for four years on 5/21/2015, and the remaining 1,309 shares become fully vested and non-forfeitable on 5/19/2015, if reporting person remains an employee of issuer. Also includes 2,741 shares which become fully vested and non-forfeitable on 5/20/2016, if reporting person remains an employee of issuer.
- (5) All exercisable, subject to IRS limitations.
- (6) Exercisable 25% per year for four years beginning 5/18/2010, if reporting person remains an employee of issuer.
- (7) Exercisable 25% per year for four years beginning 5/17/2011, if reporting person remains an employee of issuer.
- (8) Exercisable 25% per year for four years beginning 5/23/2012, if reporting person remains an employee of issuer.
- (9) Exercisable 25% per year for four years beginning 5/21/2013, if reporting person remains an employee of issuer.
- (10) Exercisable 25% per year for four years beginning 5/20/2014, if reporting person remains an employee of issuer.
- (11) Represents non-qualified stock options issued to reporting person under the Columbus McKinnon Corporation 2010 Long Term Incentive Plan dated as of July 26, 2010, subject to forfeiture in whole or part; options become exercisable 25% per year for four years beginning 5/19/2015, if reporting person remains an employee of issuer.

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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