

COLUMBUS MCKINNON CORP
Form 4
March 02, 2017

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
TEVENS TIMOTHY T

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)
205 CROSSPOINT PARKWAY

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
02/28/2017

Director 10% Owner
 Officer (give title below) Other (specify below)
President & CEO

GETZVILLE, NY 14068

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

(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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| Common Stock | | | | | 315,853.96 (1) | D | |
| Common Stock | 02/28/2017 | | F | 22,317.96 (2) | D \$ 0 293,536 | D | |
| Common Stock | | | | | 6,223 (3) | D | |
| Common Stock | | | | | 7,000 | I | By spouse |

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) | \$ 28.45 | | | | | 05/19/2009 | 05/18/2018 | Common Stock | 8,7 |
| Non-Qualified Stock Options (Right to Buy) | \$ 13.27 | | | | | 05/18/2010 | 05/17/2019 | Common Stock | 45,1 |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.24 | | | | | 05/17/2011 | 05/16/2020 | Common Stock | 33,1 |
| Non-Qualified Stock Options (Right to Buy) | \$ 19.5 | | | | | 05/23/2011 | 05/22/2021 | Common Stock | 31,9 |
| Non-Qualified Stock Options (Right to Buy) | \$ 13.43 | | | | | 05/21/2013 | 02/28/2022 ⁽⁵⁾ | Common Stock | 53,5 |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.95 | | | | | 05/20/2014 | 02/28/2022 ⁽⁶⁾ | Common Stock | 44,6 |
| Non-Qualified Stock Options (Right to Buy) | \$ 27.12 | | | | | 05/19/2015 | 02/28/2022 ⁽⁸⁾ | Common Stock | 38,9 |
| Non-Qualified Stock Options (Right to Buy) | \$ 24.94 | | | | | 05/16/2016 | 02/28/2022 ⁽¹⁰⁾ | Common Stock | 48,8 |
| Non-Qualified | \$ 15.16 | | | | | 05/23/2017 | 02/28/2022 ⁽¹²⁾ | Common | 86,5 |

Stock Options
(Right to Buy)

Stock

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-----------------|-------|
| | Director | 10% Owner | Officer | Other |
| TEVENS TIMOTHY T 205 CROSSPOINT PARKWAY GETZVILLE, NY 14068 | X | | President & CEO | |

Signatures

Mary C. O'Connor, Power of Attorney for Timothy T.
Tevens

03/02/2017

**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) The previously reported total of 315,853.9546 was adjusted by .0054. The new total of 315,853.96 includes 54,022.96 shares of restricted stock issued to reporting person subject to forfeiture in whole or part; 5,417.2580 shares become fully vested and non-forfeitable on 5/20/2017; 7,847.5790 shares become fully vested and non-forfeitable 50% per year for two years beginning 5/19/2017; 12,919.1746 shares become fully vested and non-forfeitable 33.33% per year for three years beginning 5/18/2017; and the remaining 27,838.9484 shares become fully vested and non-forfeitable 25% per year for four years beginning 5/23/2017, if reporting person remains an employee of issuer.
 - (2) 54,022.96 restricted stock units became fully vested on reporting persons retirement on February 28, 2017, of which 22,311.00 shares were withheld to satisfy tax withholding obligations and 6.96 shares were issued in cash of \$180.20.
 - (3) Represents shares allocated to account of reporting person under the Columbus McKinnon Corporation Employee Stock Ownership Plan, as amended (the "ESOP").
 - (4) Fully exercisable, subject to IRS limitations.
 - (5) Previously reported as 05/20/2022 and upon reporting persons retirement on February 28, 2017, the expiration date became 02/28/2022.
 - (6) Previously reported as 05/20/2023 and upon reporting persons retirement on February 28, 2017, the expiration date became 02/28/2022.
 - (7) Reporting persons retired on February 28, 2016 and these options will continue to be exercisable 25% per year for four years beginning 5/20/2014.
 - (8) Previously reported as 05/19/2024 and upon reporting persons retirement on February 28, 2017, the expiration date became 02/28/2022.
 - (9) Reporting persons retired on February 28, 2016 and these options will continue to be exercisable 25% per year for four years beginning 5/19/2015.
 - (10) Previously reported as 05/17/2025 and upon reporting persons retirement on February 28, 2017, the expiration date became 02/28/2022.
 - (11) Reporting persons retired on February 28, 2016 and these options will continue to be exercisable 25% per year for four years beginning 5/18/2016.
 - (12) Previously reported as 05/22/2026 and upon reporting persons retirement on February 28, 2017, the expiration date became 02/28/2022.
 - (13) Reporting persons retired on February 28, 2016 and these options will continue to be exercisable 25% per year for four years beginning 5/23/2017.

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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