#### **COLUMBUS MCKINNON CORP**

Form 4 May 20, 2015

# FORM 4

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

OMB 3235-0287 Number:

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

January 31, Expires: 2005 Estimated average

**OMB APPROVAL** 

Form 4 or Form 5 obligations may continue.

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

burden hours per response... 0.5

See Instruction

1(b).

Common

Common

Stock

Stock

(Print or Type Responses)

| 1. Name and Korman A                                    | 2. Issuer Name and Ticker or Trading Symbol COLUMBUS MCKINNON CORP |       |  |   |                 | 5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)   |             |  |  |   |
|---|--|-------|--|---|-----------------|--|-------------|--|--|---|
| (Last) (First) (Middle)  140 JOHN JAMES AUDUBON PARKWAY |  |       | [CMCO] 3. Date of Earliest Transaction (Month/Day/Year) 05/18/2015 |   |                 |  |             | Director 10% Owner Specify below) Other (specify below)  VP, Gen'l Counsel & Secretary                             |  |   |
| AMHERS  | Filed(Month/Day/Year)  |       |  |   |                 | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person |             |  |  |   |
| (City)  | (State)  | (Zip) | Ta   | ble I - Non   | ı-Derivative S  | Securi   | ties Acqu   | ired, Disposed of  | , or Beneficia   | lly Owned   |
| 1.Title of<br>Security<br>(Instr. 3)                    | 2. Transaction Date<br>(Month/Day/Year)                            |       |  | 3. 4. Securities Acquired (A) Transaction Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)  (A) or |                 |  |             | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
| Common<br>Stock   |  |       |  | Code V  | Amount          | (D)  | Price       | 12,514.7613  | D  |   |
| Common<br>Stock   | 05/18/2015   |       |  | A   | 1,948 (1)       | A  | \$<br>24.94 | 14,462.7613  | D  |   |
| Common<br>Stcok   | 05/19/2015   |       |  | F   | 183.6619<br>(2) | D  | \$ 24.8     | 14,279.0994<br>(3)   | D  |   |

Additional

shares held by

302.39 (4)

431,321.61

D

Ι

#### Edgar Filing: COLUMBUS MCKINNON CORP - Form 4

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

SEC 1474

(9-02)

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 displays a currently valid OMB control number.

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | Securities | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                    | 7. Title and Amour Underlying Securit (Instr. 3 and 4) |                           |
|---|---|---|---|--|------------|--|--------------------|--|---------------------------|
|   |   |   |   | Code V                                 | (A) (D)    | Date<br>Exercisable                                      | Expiration<br>Date | Title  | Amo<br>or<br>Num<br>of Sh |
| Non-Qualified<br>Stock Options<br>(Right to Buy)    | \$ 18.63  |   |   |  |            | 01/24/2014   | 01/23/2021         | Common<br>Stock  | 10,0                      |
| Non-Qualified<br>Stock Options<br>(Right to Buy)    | \$ 19.5   |   |   |  |            | 05/23/2012   | 05/22/2021         | Common<br>Stock  | 3,2                       |
| Non-Qualified<br>Stock Options<br>(Right to Buy)    | \$ 13.43  |   |   |  |            | 05/21/2013   | 05/20/2022         | Common<br>Stock  | 5,4                       |
| Non-Qualified<br>Stock Options<br>(Right to Buy)    | \$ 18.95  |   |   |  |            | 05/20/2014   | 05/23/2023         | Common<br>Stock  | 4,6                       |
| Non-Qualified<br>Stock Options<br>(Right to Buy)    | \$ 27.12  |   |   |  |            | 05/19/2015   | 05/19/2024         | Common<br>Stock  | 4,3                       |
| Non-Qualified<br>Stock Options<br>(Right to Buy)    | \$ 24.94  | 05/18/2015                              |   | A                                      | 5,609      | 05/18/2016   | 05/17/2025         | Common<br>Stock  | 5,6                       |

### **Reporting Owners**

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer

Other

Korman Alan S 140 JOHN JAMES AUDUBON PARKWAY AMHERST, NY 14228

VP, Gen'l Counsel & Secretary

## **Signatures**

Alan S. Korman

05/20/2015

\*\*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).
- 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; units become fully vested and non-forfeitable 25% per year for four years beginning 5/18/2016, if reporting person remains an employee of issuer.
- (2) Represents shares withheld to satisfy tax withholding obligation upon vesting 434.6619 restricted stock units on 5/19/2015.
  - Includes 10,833.0994 shares of restricted stock issued to reporting person subject to forfeiture in whole or part; 431.2687 shares become fully vested and non-forfeitable on 5/23/2015; 1,363.3326 shares become fully vested and non-forfeitable 50% per year for two years
- beginning 5/21/2015; 1,648.4938 shares become fully vested and non-forfeitable 33.33% for three years beginning 5/20/2015; 2,826 shares become fully vested and non-forfeitable on 5/21/2015; 1,307.0043 shares become fully vested and non-forfeitable 33.33% for three years beginning 5/19/2016; 1,309 shares become fully vested and non-forfeitable on 5/20/2016; and the remaining 1,948 shares become fully vested and non-forfeitable 25% for four years beginning 5/19/2016, if reporting person remains an employee of issuer.
- (4) Reports shares allocated to account of reporting person under the Columbus McKinnon Corporation Employee Stock Ownership Plan, as amended (the "ESOP").
- (5) Exercisable 33.33% per year for three years beginning on January 24, 2014, if reporting person remains an employee of issuer.
- (6) Exercisable 25% per year for four years beginning 5/23/2012, if reporting person remains an employee of issuer.
- (7) Exercisable 25% per year for four years beginning 5/21/2013, if reporting person remains an employee of issuer.
- (8) Exercisable 25% per year for four years beginning 5/20/2014, if reporting person remains an officer of issuer.
- (9) Exercisable 25% per year for four years beginning 5/19/2015, if reporting person remains an employee of issuer.
- Represents non-qualified stock options issued to reporting person under the Columbus McKinnon Corporation 2010 Long Term (10) 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 5/18/2016, 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. 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.

Reporting Owners 3