

CORNING INC /NY
Form 3
May 01, 2015

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| Â ROGUS MARK S | | (Month/Day/Year) | CORNING INC /NY [GLW] | |
| (Last) | (First) | (Middle) | 4. Relationship of Reporting Person(s) to Issuer | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| ONE RIVERFRONT PLAZA | | | (Check all applicable) | |
| (Street) | | | <input type="checkbox"/> Director | <input type="checkbox"/> 10% Owner |
| CORNING,Â NYÂ 14831 | | | <input checked="" type="checkbox"/> Officer | <input type="checkbox"/> Other |
| (City) | (State) | (Zip) | (give title below) | (specify below) |
| | | | Senior VP & Treasurer | 6. Individual or Joint/Group Filing(Check Applicable Line) |
| | | | | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| | | | | <input type="checkbox"/> Form filed by More than One Reporting Person |

Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---------------------------------|---|--|---|
| Common Stock | 75,072 | D | Â |

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

SEC 1473 (7-02)

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

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security: Direct (D) or Indirect | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|---|--|--|---|
| | Date Exercisable | Expiration Date | Title | Amount or Number of | |

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| | | | | Shares | | (I) (Instr. 5) | |
|------------------------------|----------------------------|--------------|--------------|--------|---------------|-------------------|---|
| Restricted Stock Unit | Â <u>(1)</u> | Â <u>(1)</u> | Common Stock | 13,829 | \$ <u>(2)</u> | D | Â |
| Restricted Stock Unit | Â <u>(3)</u> | Â <u>(3)</u> | Common Stock | 8,943 | \$ <u>(2)</u> | D | Â |
| Restricted Stock Unit | Â <u>(4)</u> | Â <u>(4)</u> | Common Stock | 8,818 | \$ <u>(2)</u> | D | Â |
| Stock Options (Right to Buy) | 12/06/2007 | 12/05/2016 | Common Stock | 18,000 | \$ 21.89 | D | Â |
| Stock Options (Right to Buy) | 01/02/2008 | 01/01/2016 | Common Stock | 10,750 | \$ 19.68 | D | Â |
| Stock Options (Right to Buy) | 12/05/2008 | 12/04/2017 | Common Stock | 18,000 | \$ 24.92 | D | Â |
| Stock Options (Right to Buy) | 01/02/2009 | 01/01/2017 | Common Stock | 9,000 | \$ 18.85 | D | Â |
| Stock Options (Right to Buy) | 02/01/2009 | 01/31/2016 | Common Stock | 10,750 | \$ 24.72 | D | Â |
| Stock Options (Right to Buy) | 01/02/2010 | 01/01/2018 | Common Stock | 9,000 | \$ 23.37 | D | Â |
| Stock Options (Right to Buy) | 02/01/2010 | 01/31/2017 | Common Stock | 9,000 | \$ 20.86 | D | Â |
| Stock Options (Right to Buy) | 02/02/2010 ⁽⁵⁾ | 02/01/2019 | Common Stock | 32,667 | \$ 10.25 | D | Â |
| Stock Options (Right to Buy) | 12/02/2010 ⁽⁶⁾ | 12/02/2019 | Common Stock | 8,333 | \$ 17.82 | D | Â |
| Stock Options (Right to Buy) | 01/04/2011 ⁽⁷⁾ | 01/04/2020 | Common Stock | 8,333 | \$ 19.56 | D | Â |
| Stock Options (Right to Buy) | 02/01/2011 | 01/31/2018 | Common Stock | 9,000 | \$ 24.61 | D | Â |
| Stock Options (Right to Buy) | 02/01/2011 ⁽⁸⁾ | 02/01/2020 | Common Stock | 8,334 | \$ 18.16 | D | Â |
| Stock Options (Right to Buy) | 01/03/2012 ⁽⁹⁾ | 01/03/2021 | Common Stock | 7,238 | \$ 19.19 | D | Â |
| Stock Options (Right to Buy) | 02/01/2012 ⁽¹⁰⁾ | 02/01/2021 | Common Stock | 6,121 | \$ 22.69 | D | Â |
| Stock Options (Right to Buy) | 03/01/2012 ⁽¹¹⁾ | 03/01/2021 | Common Stock | 6,305 | \$ 22.03 | D | Â |
| Stock Options (Right to Buy) | 01/03/2015 | 01/03/2022 | Common Stock | 12,382 | \$ 13.04 | D | Â |
| | 02/01/2015 | 02/01/2022 | | 12,516 | \$ 12.9 | D | Â |

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| Stock Options (Right to Buy) | | | Common Stock | | | | |
|------------------------------|------------|------------|--------------|--------|----------|---|---|
| Stock Options (Right to Buy) | 03/01/2015 | 03/01/2022 | Common Stock | 12,449 | \$ 12.97 | D | Â |
| Stock Options (Right to Buy) | 03/28/2016 | 03/28/2023 | Common Stock | 13,843 | \$ 13.33 | D | Â |
| Stock Options (Right to Buy) | 04/30/2016 | 04/30/2023 | Common Stock | 12,726 | \$ 14.5 | D | Â |
| Stock Options (Right to Buy) | 05/31/2016 | 05/31/2023 | Common Stock | 12,005 | \$ 15.37 | D | Â |
| Stock Options (Right to Buy) | 03/31/2017 | 03/31/2024 | Common Stock | 4,803 | \$ 20.82 | D | Â |
| Stock Options (Right to Buy) | 04/30/2017 | 04/30/2024 | Common Stock | 4,782 | \$ 20.91 | D | Â |
| Stock Options (Right to Buy) | 05/30/2017 | 05/30/2024 | Common Stock | 4,695 | \$ 21.3 | D | Â |
| Stock Options (Right to Buy) | 03/31/2018 | 03/31/2025 | Common Stock | 4,409 | \$ 22.68 | D | Â |
| Stock Options (Right to Buy) | 04/30/2018 | 04/30/2025 | Common Stock | 4,778 | \$ 20.93 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| ROGUS MARK S ONE RIVERFRONT PLAZA CORNING, NY 14831 | Â | Â | Â Senior VP & Treasurer | Â |

Signatures

Linda E. Jolly, Power of Attorney 05/01/2015

__Signature of Reporting Person Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 5(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 Restricted Stock Units vest 100% on April 18, 2016. Vested shares will be delivered to the reporting person within thirty (30) days after April 18, 2016. Events such as retirement, death, disability, and others specified in the agreement may result in vesting prior to April 18, 2016.
 - (2) Each restricted stock unit represents a contingent right to receive one share of Corning Incorporated Common Stock.
 - (3) The Restricted Stock Units vest 100% on April 17, 2017. Vested shares will be delivered to the reporting person within thirty (30) days after April 17, 2017. Events such as retirement, death, disability, and others specified in the agreement may result in vesting prior to April 17, 2017.

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- (4) The Restricted Stock Units vest 100% on April 16, 2018. Vested shares will be delivered to the reporting person within thirty (30) days after April 16, 2018. Events such as retirement, death, disability, and others specified in the agreement may result in vesting prior to April 16, 2018.
- (5) The options vest in three annual installments beginning on February 2, 2010.
- (6) The options vest in three annual installments beginning on December 2, 2010.
- (7) The options vest in three annual installments beginning on January 4, 2011.
- (8) The options vest in three annual installments beginning on February 1, 2011.
- (9) The options vest in three annual installments beginning on January 3, 2012.
- (10) The options vest in three annual installments beginning on February 1, 2012.
- (11) The options vest in three annual installments beginning on March 1, 2012.

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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