#### **COLUMBUS MCKINNON CORP**

Form 4 July 01, 2013

# FORM 4

Section 16.

Form 4 or

obligations

may continue.

See Instruction

Form 5

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

Check this box if no longer subject to

(Middle)

#### 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

1(b).

(Last)

(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]

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

06/27/2013

5. Relationship of Reporting Person(s) to

**OMB** 

Number:

Expires:

response...

**OMB APPROVAL** 

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

Issuer

below)

(Check all applicable)

10% Owner

Other (specify

140 JOHN JAMES AUDUBON **PARKWAY** 

(First)

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

President & CEO

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Director

X\_ Officer (give title

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

AMHERST, NY 14228-1197

(City)	(State)	(Zip) Tak	ole I - Non-	Derivative	Secu	rities Acquii	ed, Disposed of,	or Beneficiall	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactic Code (Instr. 8)	omr Dispos (Instr. 3,	ed of		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)
Stock							255,672 <u>(1)</u>	D	
Common Stock	06/27/2013		M	5,329	A	\$ 5.46	261,001 (1)	D	
Common Stock	06/27/2013		M	14,467	A	\$ 5.46	275,468 (1)	D	
Common Stock	06/27/2013		S	10,419	D	\$ 22.0025	265,049 (1)	D	
Common Stock	06/28/2013		M	1,252	A	\$ 5.46	266,301 (1)	D	

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Common Stock	06/28/2013	M	3,399	A	\$ 5.46	269,700 (1)	D	
Common Stock	06/28/2013	S	2,448	D	\$ 22.0025	267,252 (1)	D	
Common Stock						6,038.6504 (2)	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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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)	e 3A. Deemed Execution Date, if any (Month/Day/Year)	Code	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amou Underlying Secur (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Am or Nu of S
Incentive Stock Options (Right to Buy)	\$ 5.46	06/27/2013		M	5,329	05/17/2005	05/16/2014	Common Stock	8,
Non-Qualified Stock Options (Right to Buy)	\$ 5.46	06/27/2013		M	14,467	05/17/2005	05/16/2014	Common Stock	23
Incentive Stock Options (Right to Buy)	\$ 5.46	06/28/2013		M	1,252	05/17/2005	05/16/2014	Common Stock	3,
Non-Qualified Stock Options (Right to Buy)	\$ 5.46	06/28/2013		M	3,399	05/17/2005	05/16/2016	Common Stock	8,
Incentive Stock Options (Right to Buy)	\$ 28.45					05/19/2009	05/18/2018	Common Stock	. 8,
Non-Qualified Stock Options	\$ 13.27					05/18/2010	05/17/2019	Common Stock	45

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(Right to Buy)					
Non-Qualified Stock Options (Right to Buy)	\$ 18.24	05/17/2011	05/16/2020	Common Stock	33
Non-Qualified Stock Options (Right to Buy)	\$ 19.5	05/23/2011	05/22/2021	Common Stock	31
Non-Qualified Stock Options (Right to Buy)	\$ 13.43	05/21/2012	05/20/2022	Common Stock	53 <u>(</u>
Non-Qualified Stock Options (Right to Buy)	\$ 18.95	05/20/2014	05/20/2023	Common Stock	44

## **Reporting Owners**

Reporting Owner Name / Address	Relationships						
coporting of more removed.	Director	10% Owner	Officer	Other			
TEVENS TIMOTHY T 140 JOHN JAMES AUDUBON PARKWAY AMHERST, NY 14228-1197	X		President & CEO				

# **Signatures**

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

07/01/2013

\*\*Signature of Reporting Person

## **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).
  - Includes 84,443 shares of restricted stock issued to reporting person subject to forfeiture in whole or part; 6,868 shares become fully vested and non-forfeitable on 5/17/2014; 8,449 shares become fully vested and non-forfeitable 50% per year for two years beginning

Date

- (1) 5/23/2014; 20,032 shares become fully vested and non-forfeitable 33.33% per year for three years beginning 5/21/2014, 21,183 shares become fully vested and non-forfeitable 25% per year for four years beginning 5/20/2014, and the remaining 27,911 shares become fully vested and non-forfeitable on 5/21/2015, if reporting person remains an employee of issuer.
- (2) Reports shares allocated to account of reporting person under the Columbus McKinnon Corporation Employoee Stock Ownership Plan, as amended (the "ESOP").
- (3) The reporting person exercised 5,329 options on 6/27/13. The remaining 3,196 options are fully exercisable, subject to IRS limitations.
- (4) The reporting person exercised 14,467 options on 6/27/13. The remaining 8,675 options are fully exercisable, subject to IRS limitations.
- (5) The reporting person exercised 1,252 options on 6/28/13. The remaining 1,944 options are fully exercisable, subject to IRS limitations.
- (6) The reporting person exercised 3,399 options on 6/28/13. The remaining 5,276 options are fully exercisable, subject to IRS limitations.
- (7) All exercisable, pursuant to IRS limitations.
- (8) Exercisable 25% per year for four years beginning 5/18/2010, if reporting person remains an employee of issuer.
- (9) Exercisable 25% per year for four years beginning 5/17/2011, if reporting person remains an employee of issuer.

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- (10) Exercisable 25% per year for four years beginning 5/23/2011, if reporting person remains an employee of issuer.
- (11) Exercisable 25% per year for four years, beginning 5/21/2012, if reporting person remains an employee of issuer.
- (12) Exercisable 25% per year for four years beginning 5/20/2014, if reporting person remains an officer 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.