#### Edgar Filing: POKLUDA JAMES L III - Form 3/A

POKLUDA JAMES L III Form 3/A May 11, 2011

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

OMB APPROVAL

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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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

30(h) of the Investment Company Act of 1940

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(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement Houston Wire & Cable CO [HWCC] POKLUDA JAMES L III (Month/Day/Year) 05/03/2011 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 10201 N. LOOP EAST 05/10/2011 (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) Director 10% Owner \_X\_ Form filed by One Reporting \_X\_\_ Officer \_ Other (give title below) (specify below) HOUSTON, TXÂ 77029 Form filed by More than One President Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities (Instr. 4) Beneficially Owned Ownership Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Common Stock D Â 1,875 Â D Common Stock (1) 5,000 Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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 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	Form of Derivative	6. Nature of Indirect Beneficial Ownership (Instr. 5)
			Derivative	Security:	

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Option Grant	(2)	12/30/2015	Common Stock	3,750	\$ 2.67	D	Â
Option Grant	(3)	12/20/2016	Common Stock	10,000	\$ 21.73	D	Â
Option Grant	(4)	12/18/2017	Common Stock	5,000	\$ 15.4	D	Â
Option Grant	(5)	12/17/2018	Common Stock	10,000	\$ 9.27	D	Â
Option Grant	(6)	12/14/2020	Common Stock	5,000	\$ 12.03	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships				
1 2 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3	Director	10% Owner	Officer	Other	
POKLUDA JAMES L III 10201 N. LOOP EAST HOUSTON, TX 77029	Â	Â	President	Â	

## **Signatures**

/s/ James L.
Pokluda III

\*\*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) Restricted stock awards vests as to 1,667 shares on December 15, 2012, 1,667 shares on December 15, 2013 and 1,666 shares on December 15, 2014 and is subject to forfeiture until vested.
- The option, representing a right to purchase a total of 9,375 shares, became exercisable in five equal annual installments of 1,875 shares each, beginning on December 30, 2006, which was the first anniversary of the date on which the option was granted, followed by 12/30/07, 12/30/08, 12/30/09 and 12/30/10.
- (3) The option vests in five equal annual installments of 2,000 shares each, beginning on December 20, 2007, followed by 12/20/08, 12/20/09, 12/20/10 and 12/20/11.
- (4) The option vests in five equal annual installments of 1,000 shares each, beginning December 18, 2008, followed by 12/18/09, 12/18/10, 12/18/11 and 12/18/12.
- (5) The option vests in five equal annual installments of 2,000 shares each, beginning December 17, 2009, followed by 12/17/10, 12/17/11, 12/17/12 and 12/17/13.
- The option vests in five equal annual installments of 1,000 shares each, beginning December 14, 2011, followed by 12/14/12, 12/17/13, 12/17/14 and 12/17/15.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, See Instruction 6 for procedure.

Reporting Owners 2

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