

BALKIN TIMOTHY P

Form 4

November 15, 2018

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

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

## OMB APPROVAL

OMB  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**BALKIN TIMOTHY P**

(Last) (First) (Middle)

**SENECA ST AND JAMISON RD**

(Street)

**EAST AURORA, NY 14052**

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
**MOOG INC. [MOGA/MOGB]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**11/13/2018**

4. If Amendment, Date Original  
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_\_\_X\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)

Treasurer

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_\_\_X\_\_\_\_ Form filed by One Reporting Person  
\_\_\_\_ Form filed by More than One Reporting  
Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Ownership<br>(Instr. 4) |
|---------------------------------------|---|---|--------------------------------------|---|--|--|---|
| Class A<br>Common                     | 11/13/2018                              |   | A <sup>(1)</sup>                     | 56  | \$ 0 <sup>(2)</sup> 56   | D  |   |
| Class A<br>Common                     | 11/13/2018                              |   | F <sup>(3)</sup>                     | 20  | \$ 79.15 36  | D  |   |
| Class B<br>Common                     | 11/13/2018                              |   | A <sup>(1)</sup>                     | 113   | \$ 0 <sup>(2)</sup> 113  | D  |   |
| Class B<br>Common                     | 11/13/2018                              |   | F <sup>(3)</sup>                     | 39  | \$ 80.19 74  | D  |   |
| Class B<br>Common<br><sup>(4)</sup>   |   |   |                                      |   | 1,717  | I  | 401 (k)                                 |

# Edgar Filing: BALKIN TIMOTHY P - Form 4

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.**

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<br>Derivative<br>Security<br>(Instr. 3) | 2. 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. Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |     | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |                    | 8. I<br>Der<br>Sec<br>(In |  |
|---|--|---|---|--------------------------------------|---|--|-----|---|--------------------|---------------------------|--|
|   |  |   |   | Code                                 | V   | (A)  | (D) | Date<br>Exercisable   | Expiration<br>Date | Title                     | Amount<br>or<br>Number<br>of<br>Shares |
| SAR <u>(5)</u>                                      | \$ 26.66   |   |   |                                      |   |  |     | <u>(6)</u>  | 12/01/2019         | Class A<br>Common         | 900                                    |
| SAR <u>(5)</u>                                      | \$ 36.86   |   |   |                                      |   |  |     | <u>(6)</u>  | 11/30/2020         | Class A<br>Common         | 4,000                                  |
| SAR <u>(5)</u>                                      | \$ 41.82   |   |   |                                      |   |  |     | <u>(6)</u>  | 11/30/2021         | Class A<br>Common         | 4,000                                  |
| SAR <u>(5)</u>                                      | \$ 36.41   |   |   |                                      |   |  |     | <u>(6)</u>  | 11/27/2022         | Class A<br>Common         | 4,000                                  |
| SAR <u>(5)</u>                                      | \$ 61.69   |   |   |                                      |   |  |     | <u>(6)</u>  | 11/11/2023         | Class A<br>Common         | 2,000                                  |
| SAR <u>(5)</u>                                      | \$ 74.38   |   |   |                                      |   |  |     | <u>(6)</u>  | 11/11/2024         | Class A<br>Common         | 2,000                                  |
| SAR <u>(7)</u>                                      | \$ 63.04   |   |   |                                      |   |  |     | <u>(6)</u>  | 11/17/2025         | Class A<br>Common         | 667                                    |
| SAR <u>(7)</u>                                      | \$ 65.9  |   |   |                                      |   |  |     | <u>(6)</u>  | 11/17/2025         | Class B<br>Common         | 1,333                                  |
| SAR <u>(7)</u>                                      | \$ 71.648  |   |   |                                      |   |  |     | <u>(6)</u>  | 11/15/2026         | Class B<br>Common         | 2,000                                  |
| SAR <u>(7)</u>                                      | \$ 82.31   |   |   |                                      |   |  |     | <u>(6)</u>  | 11/14/2027         | Class B<br>Common         | 1,611                                  |
| SAR <u>(7)</u>                                      | \$ 80.19   | 11/13/2018                              |   | A                                    | 1,741   |  |     | <u>(6)</u>  | 11/13/2028         | Class B<br>Common         | 1,741                                  |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |           |       |
|---|---------------|-----------|-----------|-------|
|   | Director      | 10% Owner | Officer   | Other |
| BALKIN TIMOTHY P<br>SENECA ST AND JAMISON RD<br>EAST AURORA, NY 14052 |               |           | Treasurer |       |

## Signatures

Timothy P.  
Balkin

11/15/2018

    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) Shares issued pursuant to vesting of performance-based restricted stock units that were granted to the reporting person on November 17, 2015, upon achievement of performance goals under the 2014 Moog Inc. Long Term Incentive Plan.
- (2) The performance-based restricted stock units were granted under an equity incentive compensation plan maintained by Moog Inc. and therefore the reporting person paid no price for the performance-based restricted stock units.
- (3) Shares withheld for taxes upon the settlement in shares of performance-based restricted stock units previously granted to the reporting person.
- (4) Reflects shares held in Moog Inc. Retirement Savings Plan as of the most recent statement to participants.
- (5) Stock Appreciation Right (SAR) granted under the 2008 Appreciation Rights Plan.
- (6) SARs become exercisable ratably over three years beginning on the first anniversary from the date of grant.
- (7) Stock Appreciation Rights (SAR) granted under the Moog Inc. 2014 Long Term Incentive Plan.

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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