

SERVOTRONICS INC /DE/

Form 4

January 04, 2017

# FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Trbovich Kenneth D

(Last) (First) (Middle)

1110 MAPLE STREET, P.O. BOX 300

(Street)

ELMA, NY 14059-0300

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

SERVOTRONICS INC /DE/ [SVT]

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

01/01/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

President

6. Individual or Joint/Group Filing(Check Applicable Line)

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 Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	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 Ownership (Instr. 4)
			Code	V	Amount (A) or (D) Price \$		
Common Stock	01/01/2017		F		6,147 D 9.97 <u>(1)</u>	D	
Common Stock					4,465.73	I	By ESOT
Common Stock					78,688.443 <u>(3)</u>	I	As trustee of ESOT (shares allocated to accounts of the Reporting

Person's family members)

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)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Owned Following Transaction (Instr. 5)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Trbovich Kenneth D 1110 MAPLE STREET, P.O. BOX 300 ELMA, NY 14059-0300	X		President	

## Signatures

Kenneth D. Trbovich 01/04/2017

\*\*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) On January 1, 2017, 15,000 restricted shares vested and the Reporting Person instructed the Company to withhold 6,147 shares to cover tax withholding obligations as permitted under the Company's 2012 Long-Term Incentive Plan.

(2)

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As of the date hereof, the Reporting Person's direct beneficial ownership includes 15,000 restricted shares granted under the Company's 2012 Long-Term Incentive Plan that have not yet vested.

- (3) As of the date hereof, includes shares allocated to the Employee Stock Ownership Trust (the "ESOT") accounts of the Reporting Person's father, Dr. Nicholas Trbovich, and the Reporting Person's brothers, Michael Trbovich and Nicholas Trbovich, Jr., that the Reporting Person is required to report pursuant to Rule 16a-8(b)(2). The Reporting Person disclaims beneficial interest in the shares allocated to his family members' ESOT accounts.

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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