COLUMBUS MCKINNON CORP

Form 4 May 21, 2014

FORM 4

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

OMB APPROVAL

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

if no longer subject to Section 16. Form 4 or Form 5

Check this box

obligations may continue. See Instruction

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * Woon Eric

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

COLUMBUS MCKINNON CORP

[CMCO]

(Check all applicable)

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

X_ Officer (give title below)

10% Owner Other (specify

140 JOHN JAMES AUDUBON **PARKWAY**

(First)

(Street)

(State)

05/19/2014

05/19/2014

Vice President - APAC

(Middle)

(Zip)

(City)

(Last)

4. If Amendment, Date Original

Director

Applicable Line)

Filed(Month/Day/Year)

X Form filed by One Reporting Person Form filed by More than One Reporting

6. Individual or Joint/Group Filing(Check

Person

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

AMHERST, NY 14228

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following Reported

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Indirect (I) Ownership (Instr. 4) (Instr. 4)

(A) or

Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

2,864

9.515 D

Common Stock

Common

Stock

Α

12,379 (2)

D

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)

Edgar Filing: COLUMBUS MCKINNON CORP - Form 4

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. Transactio Code (Instr. 8) | of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | |
|---|---|--------------------------------------|---|--|---|--|--------------------|---|--|
| | | | | Code V | 4, and 5) (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Non-Qualified Stock Options (Right to Buy) | \$ 14.8 | | | | | 01/25/2013 | 01/24/2020 | Common Stock | 8,333 |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.24 | 05/21/2014 | | M | 0 | 05/17/2011 | 05/16/2020 | Common Stock | 0 |
| Non-Qualified Stock Options (Right to Buy) | \$ 19.5 | 05/21/2014 | | M | 0 | 05/23/2012 | 05/22/2021 | Common Stock | 0 |
| Non-Qualified Stock Options (Right to Buy) | \$ 13.43 | 05/21/2014 | | M | 0 | 05/21/2013 | 05/20/2022 | Common Stock | 0 |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.95 | | | | | 05/20/2014 | 05/20/2023 | Common Stock | 4,970 (7) |

Reporting Owners

Relationships Reporting Owner Name / Address

Director 10% Owner Officer Other

Vice President - APAC

Woon Eric

140 JOHN JAMES AUDUBON PARKWAY

AMHERST, NY 14228

Signatures

Eric Woon 05/21/2014 **Signature of Date Reporting Person

Reporting Owners 2

Edgar Filing: COLUMBUS MCKINNON CORP - Form 4

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).
- Represents performance shares issued to reporting person under the Columbus McKinnon Corporation 2010 Long Term Incentive Plan (1) dated as of July 26, 2010. 1,450 units units become fully vested and non-forfeitable on 5/23/2014 and the remaining 1,414 units become fully vested and non-forfeitable on 5/20/2016, if reporting person remains an employee of issuer.
 - Includes 7,353 shares of restricted stock issued to reporting person subject to forfeiture in whole or part; 618 shares become fully vested and non-forfeitable 50% per year for two years beginning 5/23/2014, 1,376 shares become fully vested and non-forfeitable 50% per year
- (2) for two years beginning 5/21/2015, 2,413 shares become fully vested and non-forfeitable 33.33% per year for three years beginning 5/20/2015, and the remaining 2,946 shares become fully vested and non-forfeitable 25% per year for four years beginning 5/19/2015, if reporting person remains an employee of issuer.
- Originally granted 10,000 options. The reporting person exercised 959 options on 11/19/2013. 1,666 options are excerisable, subject to (3) IRS limitations, and the remaining 6,667 options become exercisable 50% per year for two years beginning 1/25/2014, if reporting person remain an employee of issuer.
- Originally granted 1,724 options. The reporting person exercised 103 options on 11/26/2013. 647 options are exercisable, subject to IRS limitations, and the remaining 431 options become exercisable 5/17/2014, if reporting person remains an employee of issuer.
- Originally granted 2,334 options. The reporting person exercised 583 options on 11/26/2013. 583 options are exercisable, subject to IRS (5) limitations, and the remaining 1,168 options become exercisable 50% per year for two years beginning 5/23/2014, if reporting person remains an employee of issuer.
- Originally granted 5,517 options. The reporting person exercised 689 options on 11/26/2013. 690 options are exercisable, subject to IRS (6) limitations, and the remaining 4,138 otpions become exercisable 33.33% per year for three years beginning 5/21/2014, if reporting person remains an employee of issuer.
- (7) Exercisable 25% per year for four years beginning 5/20/2014, if reporting person remains an employee 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.