

COLUMBUS MCKINNON CORP
Form 4
June 03, 2014

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
Steinberg Richard A

2. Issuer Name and Ticker or Trading Symbol
COLUMBUS MCKINNON CORP
[CMCO]

5. Relationship of Reporting Person(s) to Issuer
(Check all applicable)
 Director 10% Owner
 Officer (give title below) Other (specify below)
V.P. - Human Resources

(Last) (First) (Middle)

140 JOHN JAMES AUDUBON
PARKWAY

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
05/30/2014

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

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

AMHERST, NY 14228-1197

(City) (State) (Zip)

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 Beneficial Ownership (Instr. 4)
			Code	V Amount (A) or (D) Price			
Common Stock					13,010 ⁽¹⁾	D	
Common Stock	05/30/2014		M	9,891 A \$ 21.61	22,901 ⁽¹⁾	D	
Common Stock	05/30/2014		S	8,534 D \$ 28.32	14,367 ⁽¹⁾	D	
Common Stock	05/30/2014		M	1,700 A \$ 21.61	16,067 ⁽¹⁾	D	
Common Stock	05/30/2014		S	1,700 D \$ 28.15	14,367 ⁽¹⁾	D	

Common Stock 974,5191 ⁽²⁾ D

Common Stock 470,755.4809 I Additional shares held by ESOP; reporting person is 1 of 3 trustees; DISCLAIMS beneficial ownership.

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 Security (Instr. 3 and 4)	Am or Nur of S
				Code	V (A) (D)	Date Exercisable Expiration Date	Title	
Incentive Stock Options (Right to Buy)	\$ 21.61	05/30/2014		M	11,591	10/16/2006 10/15/2015	Common Stock	11
Incentive Stock Options (Right to Buy)	\$ 28.45					05/19/2009 05/18/2018	Common Stock	1,
Non-Qualified Stock Options (Right to Buy)	\$ 13.27					05/18/2010 05/17/2019	Common Stock	3,
Non-Qualified Stock Options (Right to Buy)	\$ 18.24					05/17/2011 05/16/2020	Common Stock	2,
Non-Qualified Stock Options (Right to Buy)	\$ 19.5					05/23/2012 05/22/2021	Common Stock	2,

Non-Qualified Stock Options (Right to Buy)	\$ 13.43	05/21/2013	05/20/2022	Common Stock	4,
Non-Qualified Stock Options (Right to Buy)	\$ 18.95	05/20/2014	05/20/2023	Common Stock	3,
Non-Qualified Stock Options (Right to Buy)	\$ 27.12	05/19/2015	05/19/2024	Common Stock	1,

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Steinberg Richard A 140 JOHN JAMES AUDUBON PARKWAY AMHERST, NY 14228-1197			V.P. - Human Resources	

Signatures

Richard A.
Steinberg

06/03/2014

 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).

- Includes 7,567 shares of restricted stock issued to reporting person subject to forfeiture in whole or part; 356 shares become fully vested and non-forfeitable on 5/23/2015, 1,129 shares become fully vested and non-forfeitable 50% per year for two years beginning 5/21/2015,
- (1) 1,341 shares become fully vested and non-forfeitable 33.33% per year for three years beginning 5/20/2015, 2,359 shares become fully vested and non-forfeitable on 5/21/2015, 1,309 shares become fully vested and non-forfeitable 25% for four years beginning 5/19/2015 and the remaining 1,073 shares become fully vested and non-forfeitable on 5/20/2016, if reporting person remains an employee of issuer.
 - (2) Reports shares allocated to account of reporting person under the Columbus McKinnon Corporation Employee Stock Ownership Plan, as amended (the "ESOP").
 - (3) The reporting person exercised 11,591 options on 5/30/2014. The remaining 33,409 options are all exercisable, subject to IRS limitations.
 - (4) All exercisable, subject to IRS limitations.
 - (5) Exercisable 25% per year for four years beginning 5/23/2012, if reporting person remains an employee of issuer.
 - (6) Exercisable 25% per year for four years beginning 5/21/2013, 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.
 - (8) Exercisable 25% per year for four years beginning 5/19/2015, 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.

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