

CORNING INC /NY

Form 3

May 01, 2015

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

ROGUS MARK S

(Last) (First) (Middle)

ONE RIVERFRONT PLAZA

(Street)

CORNING, NY 14831

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

05/01/2015

3. Issuer Name and Ticker or Trading Symbol

CORNING INC /NY [GLW]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Senior VP & Treasurer

5. 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**Table I - Non-Derivative Securities Beneficially Owned**

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership Form:

Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Common Stock

75,072

D

A

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

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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)

Date Exercisable Expiration Date

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

Title Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security: Direct (D) or Indirect

6. Nature of Indirect Beneficial Ownership (Instr. 5)

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				Shares		(I) (Instr. 5)	
Restricted Stock Unit	Â <u>(1)</u>	Â <u>(1)</u>	Common Stock	13,829	\$ <u>(2)</u>	D	Â
Restricted Stock Unit	Â <u>(3)</u>	Â <u>(3)</u>	Common Stock	8,943	\$ <u>(2)</u>	D	Â
Restricted Stock Unit	Â <u>(4)</u>	Â <u>(4)</u>	Common Stock	8,818	\$ <u>(2)</u>	D	Â
Stock Options (Right to Buy)	12/06/2007	12/05/2016	Common Stock	18,000	\$ 21.89	D	Â
Stock Options (Right to Buy)	01/02/2008	01/01/2016	Common Stock	10,750	\$ 19.68	D	Â
Stock Options (Right to Buy)	12/05/2008	12/04/2017	Common Stock	18,000	\$ 24.92	D	Â
Stock Options (Right to Buy)	01/02/2009	01/01/2017	Common Stock	9,000	\$ 18.85	D	Â
Stock Options (Right to Buy)	02/01/2009	01/31/2016	Common Stock	10,750	\$ 24.72	D	Â
Stock Options (Right to Buy)	01/02/2010	01/01/2018	Common Stock	9,000	\$ 23.37	D	Â
Stock Options (Right to Buy)	02/01/2010	01/31/2017	Common Stock	9,000	\$ 20.86	D	Â
Stock Options (Right to Buy)	02/02/2010 ⁽⁵⁾	02/01/2019	Common Stock	32,667	\$ 10.25	D	Â
Stock Options (Right to Buy)	12/02/2010 ⁽⁶⁾	12/02/2019	Common Stock	8,333	\$ 17.82	D	Â
Stock Options (Right to Buy)	01/04/2011 ⁽⁷⁾	01/04/2020	Common Stock	8,333	\$ 19.56	D	Â
Stock Options (Right to Buy)	02/01/2011	01/31/2018	Common Stock	9,000	\$ 24.61	D	Â
Stock Options (Right to Buy)	02/01/2011 ⁽⁸⁾	02/01/2020	Common Stock	8,334	\$ 18.16	D	Â
Stock Options (Right to Buy)	01/03/2012 ⁽⁹⁾	01/03/2021	Common Stock	7,238	\$ 19.19	D	Â
Stock Options (Right to Buy)	02/01/2012 ⁽¹⁰⁾	02/01/2021	Common Stock	6,121	\$ 22.69	D	Â
Stock Options (Right to Buy)	03/01/2012 ⁽¹¹⁾	03/01/2021	Common Stock	6,305	\$ 22.03	D	Â
Stock Options (Right to Buy)	01/03/2015	01/03/2022	Common Stock	12,382	\$ 13.04	D	Â
	02/01/2015	02/01/2022		12,516	\$ 12.9	D	Â

Stock Options (Right to Buy)			Common Stock				
Stock Options (Right to Buy)	03/01/2015	03/01/2022	Common Stock	12,449	\$ 12.97	D	Â
Stock Options (Right to Buy)	03/28/2016	03/28/2023	Common Stock	13,843	\$ 13.33	D	Â
Stock Options (Right to Buy)	04/30/2016	04/30/2023	Common Stock	12,726	\$ 14.5	D	Â
Stock Options (Right to Buy)	05/31/2016	05/31/2023	Common Stock	12,005	\$ 15.37	D	Â
Stock Options (Right to Buy)	03/31/2017	03/31/2024	Common Stock	4,803	\$ 20.82	D	Â
Stock Options (Right to Buy)	04/30/2017	04/30/2024	Common Stock	4,782	\$ 20.91	D	Â
Stock Options (Right to Buy)	05/30/2017	05/30/2024	Common Stock	4,695	\$ 21.3	D	Â
Stock Options (Right to Buy)	03/31/2018	03/31/2025	Common Stock	4,409	\$ 22.68	D	Â
Stock Options (Right to Buy)	04/30/2018	04/30/2025	Common Stock	4,778	\$ 20.93	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ROGUS MARK S ONE RIVERFRONT PLAZA CORNING, NY 14831	Â	Â	Â Senior VP & Treasurer	Â

Signatures

Linda E. Jolly, Power of Attorney 05/01/2015

__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) The Restricted Stock Units vest 100% on April 18, 2016. Vested shares will be delivered to the reporting person within thirty (30) days after April 18, 2016. Events such as retirement, death, disability, and others specified in the agreement may result in vesting prior to April 18, 2016.
- (2) Each restricted stock unit represents a contingent right to receive one share of Corning Incorporated Common Stock.
- (3) The Restricted Stock Units vest 100% on April 17, 2017. Vested shares will be delivered to the reporting person within thirty (30) days after April 17, 2017. Events such as retirement, death, disability, and others specified in the agreement may result in vesting prior to April 17, 2017.

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- (4) The Restricted Stock Units vest 100% on April 16, 2018. Vested shares will be delivered to the reporting person within thirty (30) days after April 16, 2018. Events such as retirement, death, disability, and others specified in the agreement may result in vesting prior to April 16, 2018.
- (5) The options vest in three annual installments beginning on February 2, 2010.
- (6) The options vest in three annual installments beginning on December 2, 2010.
- (7) The options vest in three annual installments beginning on January 4, 2011.
- (8) The options vest in three annual installments beginning on February 1, 2011.
- (9) The options vest in three annual installments beginning on January 3, 2012.
- (10) The options vest in three annual installments beginning on February 1, 2012.
- (11) The options vest in three annual installments beginning on March 1, 2012.

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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