

NEUPAVER ALBERT J

Form 4

July 30, 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
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
NEUPAVER ALBERT J

2. Issuer Name **and** Ticker or Trading
Symbol
WESTINGHOUSE AIR BRAKE
TECHNOLOGIES CORP [WAB]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
1001 AIR BRAKE AVENUE
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
07/26/2018

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

WILMERDING, PA 15148

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

(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 - Direct	07/26/2018		M		50,000	A	\$ 14.5	648,475	D
Common Stock - Direct	07/26/2018		M		54,000	A	\$ 19.103	702,475	D
Common Stock - Direct	07/26/2018		S		90,800	D	\$ 109 ⁽¹⁾	611,675	D
Common Stock -	07/26/2018		S		12,900	D	\$ 110.46 ⁽²⁾	598,775	D

Edgar Filing: NEUPAVER ALBERT J - Form 4

Direct

Common

Stock -	07/26/2018	S	300	D	\$	110.822	598,475	D
Direct					(3)			

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 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 Underlying Security (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Am or Num of S
Non-Qualified Stock Option	\$ 14.5	07/26/2018		M		50,000		02/17/2013	02/17/2019	Common Stock	50
Non-Qualified Stock Options	\$ 19.1025	07/26/2018		M		54,000		03/01/2014	02/17/2020	Common Stock	54

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
NEUPAVER ALBERT J 1001 AIR BRAKE AVENUE WILMERDING, PA 15148	X

Signatures

David L. DeNinno, POA for Albert J.
Neupaver

07/30/2018

**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)

Edgar Filing: NEUPAVER ALBERT J - Form 4

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices within \$1.00 at a prices ranging from \$108.79 to \$109.78 inclusive. The reporting person undertakes to provide to Westinghouse Air Brake Technologies Corporation ("Wabtec"), any security holder of Wabtec, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in footnote (1) to this Form 4.

- (2) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices within \$1.00 at a prices ranging from \$109.80 to \$110.755 inclusive. The reporting person undertakes to provide to Westinghouse Air Brake Technologies Corporation ("Wabtec"), any security holder of Wabtec, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in footnote (2) to this Form 4.

- (3) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices within \$1.00 at a prices ranging from \$110.815 to \$110.83 inclusive. The reporting person undertakes to provide to Westinghouse Air Brake Technologies Corporation ("Wabtec"), any security holder of Wabtec, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in footnote (3) to this Form 4.

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.