#### Edgar Filing: VOELKER JOSEPH R - Form 3

#### VOELKER JOSEPH R

Form 3 April 09, 2013

### FORM 3 U

# 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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement STANLEY BLACK & DECKER, INC. [SWK] VOELKER JOSEPH R (Month/Day/Year) 04/01/2013 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 1000 STANLEY DRIVE (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director \_X\_ Form filed by One Reporting \_X\_\_ Officer Other Person NEW BRITAIN, CTÂ 06053 (give title below) (specify below) Form filed by More than One SVP, Human Resources Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) D Â Common Stock (1) 18,643 Through Computershare Under Ι Common Stock (2) 3,596.4629 **ESPP** Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

currently valid OMB control number.

1. Title of Derivative Security	2. Date Exercisable and	3. Title and Amount of	4.	5.	6. Nature of
(Instr. 4)	Expiration Date	Securities Underlying	Conversion	Ownership	Indirect Beneficial
	(Month/Day/Year)	Derivative Security	or Exercise	Form of	Ownership
		(Instr. 4)	Price of	Derivative	(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	12/09/2013	12/09/2019	Common Stock	1,875	\$ 49.0225	D	Â
Stock Option (Right to Buy)	(3)	12/09/2020	Common Stock	3,750	\$ 63.715	D	Â
Stock Option (Right to Buy)	(4)	12/08/2021	Common Stock	5,625	\$ 64.785	D	Â
Stock Option (Right to Buy)	(5)	12/06/2022	Common Stock	7,500	\$ 70.61	D	Â
Interest In Employer Stock Fund (401(k) Plan) (6)	(7)	(7)	Common Stock	1,097.4786	\$ <u>(7)</u>	D	Â
Interest in Employer Stock Fund (Supplemental Plan) (8)	(7)	(7)	Common Stock	56.3491	\$ <u>(7)</u>	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships			
roporting of their runner, runners	Director	10% Owner	Officer	Other
VOELKER JOSEPH R 1000 STANLEY DRIVE NEW BRITAIN, CT 06053	Â	Â	SVP, Human Resources	Â

### **Signatures**

/s/ Joseph R.
Voelker

\*\*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).
- 16,250 of the shares directly held are restricted stock units, of which 625 vest on 12/9/2013, 5,000 vest on 3/12/2014, 5,000 vest on (1) 3/12/2015, 625 vest on 12/9/2013, 625 vest on 12/9/2014, 625 vest on 12/8/2013, 625 vest on 12/8/2014, 625 vest on 12/8/2015, 625 vest on 12/6/2013, 625 vest on 12/6/2014, 625 vest on 12/6/2015 and 625 vest on 12/6/2016.
- (2) Aggregate number of shares held in ESPP as of April 1, 2013.
- (3) 1,875 shares become exercisable on 12/9/2013, 1,875 shares become exercisable on 12/9/2014.
- (4) 1,875 shares become exercisable on 12/8/2013, 1,875 shares become exercisable on 12/8/2014, 1,875 shares become exercisable on 12/8/2015.
- (5) 1,875 shares become exercisable on 12/6/2013, 1,875 shares become exercisable on 12/6/2014, 1,875 shares become exercisable on 12/6/2016.

Reporting Owners 2

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- (6) Represents shares held for the reporting person under the Company's 401(k) Plan as of April 1, 2013.
- (7) Exempt
- (8) Represents shares held for the reporting person under the Company's Supplemental Plan as of April 1, 2013.

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.