

COLUMBUS MCKINNON CORP
Form 4
November 01, 2013

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

OMB APPROVAL

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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 *
Woon Eric

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
140 JOHN JAMES AUDUBON
PARKWAY

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
10/30/2013

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
Vice President - APAC

AMHERST, NY 14228

(City) (State) (Zip)

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

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 Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock					10,125 ⁽¹⁾	D	
Common Stock	10/30/2013		M		\$ 708 A 14.8	10,833 ⁽¹⁾	D
Common Stock	10/30/2013		S		\$ 708 D 26.5	10,125 ⁽¹⁾	D

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

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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 Securities (Instr. 3 and 4)	Amount or Number of Shares
Non-Qualified Stock Options (Right to Buy)	\$ 14.8	10/30/2013		M	708	01/25/2013 01/24/2020	Common Stock	708
Non-Qualified Stock Options (Right to Buy)	\$ 18.24					05/17/2011 05/16/2020	Common Stock	1,724
Non-Qualified Stock Options (Right to Buy)	\$ 19.5					05/23/2012 05/22/2021	Common Stock	2,334
Non-Qualified Stock Options (Right to Buy)	\$ 13.43					05/21/2013 05/20/2022	Common Stock	5,517
Non-Qualified Stock Options (Right to Buy)	\$ 18.95					<u>(6)</u> 05/20/2023	Common Stock	4,970 <u>(6)</u>

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Woon Eric
140 JOHN JAMES AUDUBON PARKWAY
AMHERST, NY 14228

Vice President - APAC

Signatures

Eric Woon

11/01/2013

**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 9,135 shares of restricted stock units issued to reporting person, subject to forfeiture in whole or part; 227 shares become fully vested and non-forfeitable on 5/17/2014, 927 shares become fully vested and non-forfeitable 33.33% per year for three years beginning 5/23/2013, 2,751 units become fully vested and non-forfeitable 25% per year for four years beginning 5/21/2013, 2,356 shares become fully vested and non-forfeitable 25% per year for four years beginning 5/20/2014, and the remaining 2,874 shares become fully vested and non-forfeitable on 5/21/2015, if reporting person remains an employee of issuer.

- (1) 5/23/2013, 2,751 units become fully vested and non-forfeitable 25% per year for four years beginning 5/21/2013, 2,356 shares become fully vested and non-forfeitable 25% per year for four years beginning 5/20/2014, and the remaining 2,874 shares become fully vested and non-forfeitable on 5/21/2015, if reporting person remains an employee of issuer.
- (2) The reporting person exercised 708 options on 10/30/2013. The remaining 9,292 options become exercisable 50% per year for two years beginning 1/25/2014, if reporting person remains an employee of issuer.
- (3) Exercisable 25% per year for four years beginning 5/17/2011, if reporting person remains an employee of issuer.
- (4) Exercisable 25% per year for four years beginning 5/23/2012, if reporting person remains an employee of issuer.
- (5) Exercisable 25% per year for four years beginning 5/21/2013, if reporting person remains an employee of issuer.
- (6) 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.

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