

COLUMBUS MCKINNON CORP
Form 4
October 04, 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 *
Wozniak Kurt F

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)
AMHERST, NY 14228
(City) (State) (Zip)

3. Date of Earliest Transaction
(Month/Day/Year)
10/02/2013

____ Director
 Officer (give title below) _____ Other (specify below)
VP-Latin America

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| Common Stock | | | | | 12,098 ⁽¹⁾ | D | |
| Common Stock | 10/02/2013 | | F | 123 ⁽²⁾ D | \$ 24.38 11,975 ⁽¹⁾ | D | |
| Common Stock | | | | | 1,424.0474 ⁽³⁾ | D | |

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

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(9-02)

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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) | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Non-Qualified Stock Options (Right to Buy) | \$ 28.45 | | | | | 05/19/2011 | 05/18/2018 | Common Stock | 356 |
| Non-Qualified Stock Options (Right to Buy) | \$ 13.27 | | | | | 05/18/2010 | 05/17/2019 | Common Stock | 2,246 |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.24 | | | | | 05/17/2011 | 05/16/2020 | Common Stock | 1,777 |
| Non-Qualified Stock Options (Right to Buy) | \$ 19.5 | | | | | 05/23/2012 | 05/22/2021 | Common Stock | 1,809 |
| Non-Qualified Stock Options (Right to Buy) | \$ 13.43 | | | | | 05/21/2013 | 05/20/2022 | Common Stock | 4,446 |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.95 | | | | | 05/20/2014 | 05/20/2023 | Common Stock | 6,788 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Wozniak Kurt F 140 JOHN JAMES AUDUBON PARKWAY AMHERST, NY 14228 | | | VP-Latin America | |

Signatures

Kurt F. Wozniak

10/04/2013

**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 7,910 shares of restricted stock issued to reporting person subject to forfeiture in whole or part; 234 shares become fully vested and non-forfeitable 5/17/2014; 479 shares become fully vested and non-forfeitable 50% per year for two years beginning 5/23/2014,

- (1) 1,663 shares become fully vested and non-forfeitable 33.33% per year for three years beginning 5/21/2014; 3,218 share become fully vested and non-forfeitable 25% per year for four years beginning 5/20/2014, and the remaining 2,316 shares become fully vested and non-forfeitable on 5/21/2014, if reporting person remains an employee of issuer.
- (2) Represents shares withheld to satisfy tax withholding obligation upon vesting 333 restricted stock units on 10/2/2013.
- (3) Reports shares allocated to account of reporting person under the Columbus McKinnon Corporation Employee Stock Ownership Plan, as amended (the "ESOP").
- (4) All exercisable, subject to IRS limitations.
- (5) All exercisable, subject to IRS limitations.
- (6) Exercisable 25% per year for four years beginning 5/17/2011, if reporting person remains an employee of issuer.
- (7) Exercisable 25% per year for four years beginning 5/23/2012, if reporting person remains an employee of issuer.
- (8) Exercisable 25% per year for four years beginning 5/21/2013, if reporting person remains an employee of issuer.
- (9) 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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