

TRBOVICH NICHOLAS JR
Form 4
April 12, 2013

FORM 4

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

OMB APPROVAL

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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 *
TRBOVICH NICHOLAS JR

(Last) (First) (Middle)

89 HAZELMERE AVENUE

(Street)

MACHIAS, NY 14101

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
SERVOTRONICS INC /DE/ [svt]

3. Date of Earliest Transaction
(Month/Day/Year)
04/02/2013

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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 | 04/02/2013 | | M | 5,000 A | \$ 4.7 58,188 ⁽¹⁾ | D | |
| Common Stock | | | | | 88,738.98 ⁽²⁾ | I | By ESOT |

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

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SEC 1474 (9-02)

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

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| 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) | 8. Title and Amount of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|---|
| Options (Right to Buy) | \$ 4.7 | 04/02/2013 | | M | 5,000 | (3) 12/29/2015 | Common Stock | 5,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| TRBOVICH NICHOLAS JR 89 HAZELMERE AVENUE MACHIAS, NY 14101 | | X | | |

Signatures

Nicholas Trbovich Jr. 04/10/2013

**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).
- (1) The Reporting person exercised his option to purchase the 5,000 shares of common stock reported herein and tendered payment on April 2, 2013. The Company has refused to issue the shares reported to the Reporting Person. Reporting Person maintains the options are validly exercised and that the share transfer is effective April 2, 2013.
- (2) As of the date hereof, includes 30,404 shares the Company has advised Reporting Person are allocated to Reporting Person's account under the Company's Employee stock Ownership Trust (the "ESOT") as well as shares allocated to the ESOT accounts of the Reporting Person's father, Dr. Nicholas Trbovich, and the Reporting Person's brothers, Michael Trbovich and Kenneth Trbovich, tha the Reporting Person is required to report pursuant to Rule 16a-8(b)(2). The Reporting Person disclaims beneficial ownership in in the 58,334.98 shares allocated to his family member's ESOT accounts. Reporting Person does not have access to the current holdings allocated to family members; the amounts reported are last know numbers;
- (3) All of the options are currently exercisable.

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.