

COLUMBUS MCKINNON CORP
Form 4
December 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 *
Buer Gene P

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)

3. Date of Earliest Transaction
(Month/Day/Year)
12/02/2013

___ Director ___ 10% Owner
 Officer (give title below) ___ Other (specify below)
VP NA & Global Vertical Market

140 JOHN JAMES AUDUBON PARKWAY

(Street)

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

AMHERST, NY 14228

(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 | | | | | 26,783 ⁽¹⁾ | D | |
| Common Stock | 12/02/2013 | | M | | 5,992 | A | \$ 16.81 |
| Common Stock | 12/02/2013 | | M | | 4,008 | A | \$ 16.81 |
| Common Stock | 12/02/2013 | | M | | 7,680 | A | \$ 13.27 |
| Common Stock | 12/02/2013 | | M | | 4,868 | A | \$ 18.24 |

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| | | | | | | | |
|--------------|------------|---|--------|---|----------|-------------------------|---|
| Common Stock | 12/02/2013 | M | 3,230 | A | \$ 19.5 | 52,561 ⁽¹⁾ | D |
| Common Stock | 12/02/2013 | M | 2,786 | A | \$ 13.43 | 55,347 ⁽¹⁾ | D |
| Common Stock | 12/02/2013 | F | 4,929 | D | \$ 27.02 | 50,418 ⁽¹⁾ | D |
| Common Stock | 12/02/2013 | F | 17,109 | D | \$ 26.53 | 33,309 ⁽¹⁾ | D |
| Common Stock | | | | | | 825.8282 ⁽²⁾ | D |

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

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(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 of Underlying Security (Instr. 3 and 4) | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------|----------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Am or Num of S |
| Non-Qualified Stock Options (Right to Buy) | \$ 28.45 | | | | | 05/19/2009 | 05/18/2018 | Common Stock | 4 |
| Non-Qualified Stock Options (Right to Buy) | \$ 16.81 | 12/02/2013 | | M | 10,000 | 10/20/2011 | 10/19/2018 | Common Stock | 10 |
| Non-Qualified Stock Options (Right to Buy) | \$ 13.27 | 12/02/2013 | | M | 7,680 | 05/18/2010 | 05/17/2019 | Common Stock | 7, |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.24 | 12/02/2013 | | M | 4,868 | 05/17/2011 | 05/16/2020 | Common Stock | 4, |
| Non-Qualified Stock Options (Right to Buy) | \$ 19.5 | 12/02/2013 | | M | 3,230 | 05/23/2012 | 05/22/2021 | Common Stock | 3, |

| | | | | | | | | |
|--|----------|------------|---|-------|------------|------------|-----------------|----|
| Non-Qualified Stock Options (Right to Buy) | \$ 13.43 | 12/02/2013 | M | 2,786 | 05/21/2013 | 05/20/2022 | Common Stock | 2, |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.95 | | | | 05/20/2014 | 05/20/2023 | Common Stock | 9, |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|--------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Buer Gene P 140 JOHN JAMES AUDUBON PARKWAY AMHERST, NY 14228 | | | VP NA & Global Vertical Market | |

Signatures

Gene P. Buer 12/03/2013

 **Signature of Date
Reporting Person

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) Includes 18,200 shares of restricted stock issued to reporting person subject to forfeiture in whole or part; 2,104 shares become fully vested and non-forfeitable 5/17/2014; 1,711 shares become fully vested and non-forfeitable 50% per year for two years beginning 5/23/14; 4,169 shares become fully vested and non-forfeitable 33.33% per year for three years beginning 5/21/14; 4,408 shares become fully vested and non-forfeitable 25% per year for four year beginning 5/20/14; and the remaining 5,808 shares become fully vested and non-forfeitable on 5/21/2015, if reporting person remains an employee of issuer.
 - (2) Reports shares allocated to account of reporting person under the Columbus McKinnon Corporation Employee Stock Ownership Plan, as amended (the "ESOP").
 - (3) Fully exercisable, subject to IRS limitations.
 - (4) The reporting person exercised 10,000 options on 12/02/2013.
 - (5) The reporting person exercised 7,680 options on 12/02/2013.
 - (6) The reporting person exercised 4,868 options on 12/02/2013. The remaining 1,622 options become exercisable on 5/17/2014, if reporting person remains an employee of issuer.
 - (7) The reporting person exercised 3,230 options on 12/02/2013. The remaining 3,230 options become exercisable 50% per year for two years beginning 5/23/2014, if reporting person remains an employee of issuer.
 - (8) The reporting person exercised 2,786 options on 12/02/2013. The remaining 8,360 options become exercisable 33.33% per year for three years beginning 5/21/2014, if reporting person remains an employee of issuer.
 - (9) Exercisable 25% per year for four years beginning 5/21/2013, 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. 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.