

COLUMBUS MCKINNON CORP
Form 4
February 13, 2014

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 *
Giesige Charles R

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

5. Relationship of Reporting Person(s) to Issuer
(Check all applicable)
 Director 10% Owner
 Officer (give title below) Other (specify below)
VP Corporate Development

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

3. Date of Earliest Transaction
(Month/Day/Year)
02/11/2014

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 Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock | | | | | 19,207 ⁽¹⁾ | D | |
| Common Stock | 02/11/2014 | | M | | 2,913 | A | \$ 13.27 |
| Common Stock | 02/11/2014 | | S | | 2,913 | D | \$ 25.1 |
| Common Stock | 02/11/2014 | | M | | 10,000 | A | \$ 19.15 |
| Common Stock | 02/11/2014 | | S | | 10,000 | D | \$ 25.1 |

Common
Stock

737.9507 ⁽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) | Amount or Number of Shares | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Non-Qualified Stock Options (Right to Buy) | \$ 28.45 | | | | | 05/19/2009 | 05/18/2018 | Common Stock | 5 |
| Incentive Stock Options (Right to Buy) | \$ 19.15 | 02/11/2014 | | M | 10,000 | 01/19/2010 | 07/31/2016 | Common Stock | 10 |
| Non-Qualified Stock Options (Right to Buy) | \$ 13.27 | 02/11/2014 | | M | 2,913 | 05/18/2010 | 05/17/2019 | Common Stock | 2,913 |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.24 | | | | | 05/17/2011 | 05/16/2020 | Common Stock | 6,000 |
| Non-Qualified Stock Options (Right to Buy) | \$ 19.5 | | | | | 05/23/2012 | 05/22/2021 | Common Stock | 5,000 |
| Non-Qualified Stock Option (Right to Buy) | \$ 13.43 | | | | | 05/21/2013 | 05/20/2022 | Common Stock | 9,000 |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.95 | | | | | 05/20/2014 | 05/20/2023 | Common Stock | 4,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|-----------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Giesige Charles R 140 JOHN JAMES AUDUBON PARKWAY AMHERST, NY 14228 | | | VP Corporate Development | |

Signatures

Charles R.
Giesige

02/13/2014

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) Includes 12,880 shares of restricted stock issued to reporting person subject to forfeiture in whole or part; 824 shares become fully vested and non-forfeitable on 5/17/2014; 1,520 shares become fully vested and non-forfeitable 50% per year for two years beginning 5/23/2014; 3,542 shares become fully vested and non-forfeitable 33.33% per year for three years beginning 5/21/2014; 2,060 shares become fully vested and non-forfeitable 25% per year for four years beginning 5/20/2014; and the remaining 4,934 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) All exercisable, subject to IRS limitations.
 - (4) The reporting person exercised 10,000 options on 2/11/2014.
 - (5) The reporting person exercised 2,913 options on 2/11/2014. The remaining 5,612 options are 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. 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.