**RBC** Bearings INC Form 3/A September 28, 2005

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

**OMB APPROVAL** 

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

(Print or Type Responses)

1. Name and Address of Reporting

Person \*

HARTNETT MICHAEL J

INCORPORATED, ONE TRIBOLOGY CENTER

(Last)

**RBC BEARINGS** 

(First)

(Street)

(Middle)

Statement

(Month/Day/Year)

08/09/2005

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

RBC Bearings INC [ROLL]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

08/09/2005

(Check all applicable)

\_X\_ Director \_\_X\_\_ Officer (give title below) (specify below)

\_\_X\_\_ 10% Owner \_Other

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting Person

Form filed by More than One

Reporting Person

OXFORD. CTÂ 06478

(City) (State)

1. Title of Security (Instr. 4)

(Zip)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership

Table I - Non-Derivative Securities Beneficially Owned

**CEO** 

4. Nature of Indirect Beneficial

Ownership (Instr. 5) Form:

Direct (D) or Indirect (I) (Instr. 5)

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

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security

4. 5. Ownership Conversion Form of or Exercise Derivative Price of

6. Nature of Indirect Beneficial

Ownership

(Instr. 5)

(Instr. 4) Derivative Security: Title Amount or Security Direct (D)

Date Exercisable Expiration Date

Number of

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				Shares		or Indirect (I) (Instr. 5)	
Options for Class A Common Stock	02/18/1998	02/18/2008	Common Stock	23,125	\$ 2.06	D	Â
Warrants to Purchase Class B Common Stock	06/23/1997	06/23/2007	Common Stock	312,500	\$ 2.06	D	Â
Warrants to Puchase Class A Common Stock	06/23/1997	06/23/2007	Common Stock	1,060,365	\$ 0.4	D	Â
Warrants to Purchase Class A Common Stock	06/23/1997	06/23/2007	Common Stock	416,668	\$ 0.4	I	By Self as General Partner for Hartnett Family Investments, L.P.
Class B Exchangable Convertible Participating Preferred Stoc	(1)	(1)	Common Stock	(1)	\$ <u>(1)</u>	D	Â
Class B Common Stock	(2)	(2)	Common Stock	250	\$ (2)	D	Â
Options for Common Stock	08/10/2005(3)	08/10/2015	Common Stock	683,502	\$ 14.5	D	Â

## **Reporting Owners**

Reporting Owner Name / Address		Relationships  10% Owner Officer   X  CEO		
•	Director	10% Owner	Officer	Othe
HARTNETT MICHAEL J				
RBC BEARINGS INCORPORATED	â v	λv	CEO	â
ONE TRIBOLOGY CENTER	АЛ	АЛ	A CEO	A
OXFORD, CT 06478				

# **Signatures**

Daniel A.
Bergeron

\*\*Signature of Reporting Person

Date

### **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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) 88,428 shares of common stock will be issued upon the conversion of the Class B Exchangeable Convertible Participating Preferred Stock simultaneous with the closing of the Issuer's initial public offering.

Reporting Owners 2

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- (2) 250 shares of common stock will be issued upon the reclassification of the Issuer's Class B Common Stock immediately prior to the consummation of the Issuer's initial public offering.
- Options to purchase shares of common stock are subject to the following vesting schedule: 33% vest on 8/10/05, 33% vest on 8/10/06 and (3) 33% vest on 8/10/07; provided that those options that vested on 8/10/05 and may be exercised currently are subject to a lock-up that expires 180 days after the Issuer's initial public offering.

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.