

Trbovich Kenneth D
Form 4
May 30, 2018

FORM 4

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

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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
Trbovich Kenneth D

(Last) (First) (Middle)

1110 MAPLE STREET, P.O. BOX
300

(Street)

ELMA, NY 14059-0300

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

SERVOTRONICS INC /DE/ [SVT]

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

05/25/2018

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)

President & CEO

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 Beneficial Ownership (Instr. 4)
Common Stock	05/25/2018		A	45,000	D <u>(1)</u> 104,662.5 <u>(2)</u>	D	
Common Stock					4,955.71	I	By ESOT
Common Stock					40,608.24 <u>(3)</u>	I	As trustee of ESOT (shares allocated to accounts of the Reporting Person's

family
members)

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)

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. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Trbovich Kenneth D 1110 MAPLE STREET, P.O. BOX 300 ELMA, NY 14059-0300	X		President & CEO	

Signatures

Kenneth D.
Trbovich 05/30/2018

**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) Award of restricted shares pursuant to the Company's 2012 Long-Term Incentive Plan. These restricted shares vest one-third each on January 1, 2019, 2020 and 2021.
- (2) As of the date hereof, the Reporting Person's direct beneficial ownership includes 45,000 restricted shares granted under the Company's 2012 Long-Term Incentive Plan that have not yet vested.

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- As of the date hereof, includes shares allocated to the Employee Stock Ownership Trust (the "ESOT") accounts of the Reporting Person's
- (3) brothers, Michael Trbovich and Nicholas Trbovich, Jr., that the Reporting Person is required to report pursuant to Rule 16a-8(b)(2). The Reporting Person disclaims beneficial interest in the shares allocated to his family members' ESOT accounts.

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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