

COLUMBUS MCKINNON CORP
Form 4
December 18, 2014

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
Korman Alan S

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, Gen'l Counsel & Secretary

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

3. Date of Earliest Transaction
(Month/Day/Year)
12/16/2014

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 Price (D) | | |
| Common Stock | | | | | 12,478 | D | |
| Common Stock | 12/16/2014 | | A | | 5.0398 (1) | A | \$ 27.12 12,483.0398 D |
| Common Stock | 12/16/2014 | | A | | 8.23 (1) | A | \$ 25.02 12,491.2698 D |
| Common Stock | 12/16/2014 | | A | | 7.1976 (1) | A | \$ 28.61 (2) 12,498.4674 D |
| Common Stock | | | | | 346.6073 (3) | D | |

| | | |
|-----------------|----------------|--|
| Common Stock | 471,483.3927 I | Additional shares held by ESOP; reporting person is 1 of 3 trustees; DISCLAIMS beneficial ownership. |
|-----------------|----------------|--|

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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) | Amount or Number of Shares | |
|---|---|---|---|---|---|--|---|-------------------------------------|---------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.63 | | | | | 01/24/2014 | 01/23/2021 | Common Stock | 10,000 |
| Non-Qualified Stock Options (Right to Buy) | \$ 19.5 | | | | | 05/23/2012 | 05/22/2021 | Common Stock | 3,230 |
| Non-Qualified Stock Options (Right to Buy) | \$ 13.43 | | | | | 05/21/2013 | 05/20/2022 | Common Stock | 5,424 |
| Non-Qualified Stock Options (Right to Buy) | \$ 18.95 | | | | | 05/20/2014 | 05/23/2023 | Common Stock | 4,601 <u>(7)</u> |
| Non-Qualified Stock Options (Right to Buy) | \$ 27.12 | | | | | 05/19/2015 | 05/19/2024 | Common Stock | 4,386 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|-------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Korman Alan S 140 JOHN JAMES AUDUBON PARKWAY AMHERST, NY 14228 | | | VP, Gen'l Counsel & Secretary | |

Signatures

Alan S. Korman 12/18/2014

 **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) Represents additional restricted stock units attributable to dividend reinvestment.
Includes 9,303.4674 shares of restricted stock issued to reporting person subject to forfeiture in whole or part; 429.914 shares become fully vested and non-forfeitable on 5/23/2015; 1,359.0502 shares become fully vested and non-forfeitable 50% per year for two years beginning 5/21/2015; 1,643.3158 shares become fully vested and non-forfeitable 33.33% for three years beginning 5/20/2015; 2,826 shares become fully vested and non-forfeitable on 5/21/2015; 1,736.1874 shares become fully vested and non-forfeitable for four years beginning 5/19/2015 and the remaining 1,309 shares become fully vested and non-forfeitable on 5/20/2016, 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) Exercisable 33.33% per year for three years beginning on January 24, 2014, if reporting person remains an employee of issuer.
 - (4) Exercisable 25% per year for four years beginning 5/23/2012, if reporting person remains an employee of issuer.
 - (5) Exercisable 25% per year for four years beginning 5/21/2013, if reporting person remains an employee of issuer.
 - (6) Exercisable 25% per year for four years beginning 5/20/2014, if reporting person remains an officer of issuer.
 - (7) Exercisable 25% per year for four years beginning 5/19/2015, if reporting person remains an employee of issuer.
 - (8)

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.