

COLUMBUS MCKINNON CORP
Form 4
May 22, 2015

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 *
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)

(Last) (First) (Middle)

140 JOHN JAMES AUDUBON
PARKWAY

(Street)

AMHERST, NY 14228

(City) (State) (Zip)

3. Date of Earliest Transaction
(Month/Day/Year)
05/20/2015

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
VP, Gen'l Counsel & Secretary

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 Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | | Code V | Amount or Price | | |
| Common Stock | | | | | 14,279.0994 | D | |
| Common Stock | 05/20/2015 | | | F | 200.162 (1) | D | \$ 24.67 14,078.9374 D |
| Common Stock | 05/21/2015 | | | F | 251.1625 (2) | D | \$ 24.88 13,827.7749 D |
| Common Stock | 05/21/2015 | | | F | 1,019 (3) | D | \$ 24.88 (4) 12,808.7749 D |
| Common Stock | | | | | 302.39 (5) | D | |

| | | | |
|-----------------|------------|---|--|
| Common Stock | 431,321.61 | 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.

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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 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 |
| Non-Qualified Stock Options (Right to Buy) | \$ 27.12 | | | | | 05/19/2015 | 05/19/2024 | Common Stock | 4,386 |

| | | | | | |
|--|----------|------------|------------|-----------------|-------|
| Non-Qualified Stock Options (Right to Buy) | \$ 24.94 | 05/18/2016 | 05/17/2025 | Common Stock | 5,609 |
|--|----------|------------|------------|-----------------|-------|

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 05/22/2015

__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) Represents shares withheld to satisfy tax withholding obligation upon vesting 549.162 restricted stock units on 5/20/2015.
- (2) Represents shares withheld to satisfy tax withholding obligation upon vesting 681.1625 restricted stock units on 5/21/2015.
- (3) Represents shares withheld to satisfy tax withholding obligation upon vesting 2,826 restricted stock units on 5/21/2015.

- (4) Includes 6776.7749 shares of restricted stock issued to reporting person subject to forfeiture in whole or part; 431.2687 shares become fully vested and non-forfeitable on 5/23/2015; 682.1701 shares become fully vested and non-forfeitable on 5/21/2016; 1,099.3318 shares become fully vested and non-forfeitable 50% for two years beginning 5/20/2016; 1,307.0043 shares become fully vested and non-forfeitable 33.33% for three years beginning 5/19/2016; 1,309 shares become fully vested and non-forfeitable on 5/20/2016; and the remaining 1,948 shares become fully vested and non-forfeitable 25% for four years beginning 5/18/2016 (incorrectly reported as 5/19/2016 on Form 4 filed 5/20/2015), if reporting person remains an employee of issuer.
- (5) Reports shares allocated to account of reporting person under the Columbus McKinnon Corporation Employee Stock Ownership Plan, as amended (the "ESOP").
 - (6) Exercisable 33.33% per year for three years beginning on January 24, 2014, 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 officer of issuer.
 - (10) Exercisable 25% per year for four years beginning 5/19/2015, if reporting person remains an employee of issuer.
 - (11) Exercisable 25% per year for four years beginning 5/18/2016, 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.