Lucot Joseph R Form 3 January 05, 2007

### FORM 3

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

OMB APPROVAL

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INITIAL STATEMENT OF 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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement ALCOA INC [AA] Lucot Joseph R (Month/Day/Year) 01/01/2007 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 201 ISABELLA STREET (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director \_X\_ Form filed by One Reporting \_X\_\_ Officer Other Person PITTSBURGH, Â PA Â 15212 (give title below) (specify below) Form filed by More than One VP - Corporate Controller Reporting Person (City) (State) (Zip) **Table I - Non-Derivative Securities Beneficially Owned** 1. Title of Security 2. Amount of Securities 4. Nature of Indirect Beneficial Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) D Â Common Stock 36,116.6234 Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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.

 $Table\ II\ -\ Derivative\ Securities\ Beneficially\ Owned\ (\textit{e.g.},\ puts,\ calls,\ warrants,\ options,\ convertible\ securities)$ 

1. Title of Derivative Security (Instr. 4)	•		3. Title and Amount of Securities Underlying Derivative Security		4. Conversion or Exercise	5. Ownership Form of	6. Nature of Indirect Beneficial Ownership
			(Instr. 4)		Price of	Derivative	(Instr. 5)
		Expiration Date	Title	Amount or Number of	Security D	Security: Direct (D)	
						or Indirect	

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				Shares		(I) (Instr. 5)	
Employee Stock Option (right to buy)	01/11/2003	01/11/2012	Common Stock	24,000	\$ 36.035	D	Â
Employee Stock Option (right to buy)	10/27/2001	01/13/2009	Common Stock	20,020	\$ 41.82	D	Â
Employee Stock Option (right to buy)	11/17/2001	01/14/2010	Common Stock	28,558	\$ 45	D	Â
Employee Stock Option (right to buy)	01/17/2002	01/13/2008	Common Stock	18,050	\$ 39.4008	D	Â
Employee Stock Option (right to buy)	07/23/2002	01/12/2011	Common Stock	6,238	\$ 34.975	D	Â
Employee Stock Option (right to buy)	06/17/2004	01/12/2011	Common Stock	5,472	\$ 35.265	D	Â
Employee Stock Option (right to buy)	06/30/2004	01/12/2011	Common Stock	11,316	\$ 38.425	D	Â
Employee Stock Option (right to buy)	01/10/2004	01/10/2013	Common Stock	21,066	\$ 22.555	D	Â
Employee Stock Option (right to buy)	01/15/2005	01/15/2010	Common Stock	23,000	\$ 35.655	D	Â
Employee Stock Option (right to buy)	01/13/2006	01/13/2011	Common Stock	30,000	\$ 29.54	D	Â
Phantom Stock Units	(1)	(1)	Common Stock	164	\$ (2)	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
1 0	Director	10% Owner	Officer	Other		
Lucot Joseph R 201 ISABELLA STREET PITTSBURGH, PA 15212	Â	Â	VP - Corporate Controller	Â		

# **Signatures**

Brenda Hart (Assistant Secretary), by power of attorney

\*\*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).

Reporting Owners 2

<sup>(1)</sup> The phantom stock units were acquired under the Alcoa Deferred Compensation Plan and are to be paid out in cash upon termination of employment with Alcoa.

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#### (**2**) 1 for 1

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.