

WESTINGHOUSE AIR BRAKE TECHNOLOGIES CORP

Form 3

May 24, 2016

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 Person *

Witt Ronald L.

(Last)

(First)

(Middle)

1001 AIR BRAKE AVENUE

(Street)

WILMERDING, PA 15148

(City)

(State)

(Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

05/11/2016

3. Issuer Name and Ticker or Trading Symbol

WESTINGHOUSE AIR BRAKE TECHNOLOGIES
CORP [WAB]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

VP Group Executive

5. 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 Beneficially Owned**1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock - 401(k)

1,121.36

I

401(k)

Common Stock - Direct

4,832

D

W

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
(Instr. 4)4. Conversion
or Exercise
Price of
Derivative5. Ownership
Form of
Derivative
Security:6. Nature of
Indirect Beneficial
Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Non Qualified Stock Option	03/01/2020 ⁽¹⁾	02/09/2026	Common Stock	1,050	\$ 61.33	D	Â
Non-Qualified Stock Option	03/01/2017 ⁽²⁾	02/12/2023	Common Stock	700	\$ 48.29	D	Â
Non-Qualified Stock Option	03/01/2019 ⁽³⁾	02/10/2025	Common Stock	1,000	\$ 87.03	D	Â
Non-Qualified Stock Options	03/01/2018 ⁽⁴⁾	02/11/2024	Common Stock	682	\$ 72.82	D	Â
Non-Qualified Stock Options	03/01/2016	02/14/2022	Common Stock	350	\$ 35.2925	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Witt Ronald L. 1001 AIR BRAKE AVENUE WILMERDING, PA 15148	Â	Â	Â VP Group Executive	Â

Signatures

David L. DeNinno, POA for Ronald L. Witt 05/24/2016

__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) The option becomes exercisable as to 263 shares on each of March 1, 2017, and 2018 and as to 262 shares on each of March 1, 2019 and 2020.
- (2) The option is exercisable as to 350 shares on March 1, 2016 and becomes exercisable for the remaining 350 shares on March 1, 2017.
- (3) The option is exercisable as to 250 shares on March 1, 2016 and becomes exercisable as to 250 shares on each of March 1, 2017, 2018 and 2019.
- (4) The option is exercisable as to 228 shares on March 1, 2016 and becomes exercisable at to 227 shares on each of March 1, 2017 and 2018.

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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