Edgar Filing: WESTINGHOUSE AIR BRAKE TECHNOLOGIES CORP - Form 3

WESTINGHOUSE AIR BRAKE TECHNOLOGIES CORP

Form 3

May 24, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

OMB Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

SECURITIES

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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 WESTINGHOUSE AIR BRAKE TECHNOLOGIES Witt Ronald L. (Month/Day/Year) CORP [WAB] 05/11/2016 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 1001 AIR BRAKE AVENUE (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) Director 10% Owner _X_ Form filed by One Reporting X_ Officer Other Person WILMERDING, Â PAÂ 15148 (give title below) (specify below) _ Form filed by More than One **VP Group Executive** 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 (Instr. 4) Beneficially Owned Ownership Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Common Stock - 401(k) 1,121.36 I 401(k) Â Common Stock - Direct D 4.832 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

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

currently valid OMB control number.

3. Title and Amount of 6. Nature of 1. Title of Derivative Security 2. Date Exercisable and 5. (Instr. 4) **Expiration Date** Securities Underlying Conversion Ownership Indirect Beneficial (Month/Day/Year) **Derivative Security** or Exercise Form of Ownership (Instr. 4) Price of Derivative (Instr. 5) Derivative Security:

Edgar Filing: WESTINGHOUSE AIR BRAKE TECHNOLOGIES CORP - Form 3

	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					
Topozung O mior I mino / I mino oso	Director	10% Owner	Officer	Other		
Witt Ronald L. 1001 AIR BRAKE AVENUE WILMERDING, Â PAÂ 15148	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. 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.

Reporting Owners 2