

COLUMBUS MCKINNON CORP
Form 4
October 30, 2014

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 *
Steinberg Richard A

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)

3. Date of Earliest Transaction (Month/Day/Year)
10/28/2014

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
V.P. - Human Resources

140 JOHN JAMES AUDUBON PARKWAY

(Street)

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

AMHERST, NY 14228-1197

(City) (State) (Zip)

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 Ownership: Beneficial or Indirect (Instr. 4)
				(A) or (D)	Price		
				Code	V	Amount	
Common Stock					14,367 ⁽¹⁾	D	
Common Stock	10/28/2014		M	11,000	A \$ 21.61	25,367 ⁽¹⁾	D
Common Stock	10/28/2014		S	11,000	D \$ 27.13	14,367 ⁽¹⁾	D
Common Stock					974.5191 ⁽²⁾	D	
Common Stock					470,755.4809	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 Underlying Security (Instr. 3 and 4)	Amount or Number of S
					V	(A)	(D)	Date Exercisable	Expiration Date		
Incentive Stock Options (Right to Buy)	\$ 21.61	10/28/2014		M		11,000		10/16/2006	10/15/2015	Common Stock	11
Incentive Stock Options (Right to Buy)	\$ 28.45							05/19/2009	05/18/2018	Common Stock	1,
Non-Qualified Stock Options (Right to Buy)	\$ 13.27							05/18/2010	05/17/2019	Common Stock	3,
Non-Qualified Stock Options (Right to Buy)	\$ 18.24							05/17/2011	05/16/2020	Common Stock	2,
Non-Qualified Stock Options (Right to Buy)	\$ 19.5							05/23/2012	05/22/2021	Common Stock	2,
Non-Qualified Stock Options (Right to Buy)	\$ 13.43							05/21/2013	05/20/2022	Common Stock	4,
	\$ 18.95							05/20/2014	05/20/2023		

Non-Qualified
Stock Options
(Right to Buy)

Common
Stock 3,

Non-Qualified
Stock Options \$ 27.12
(Right to Buy)

05/19/2015 05/19/2024

Common
Stock 1,

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Steinberg Richard A 140 JOHN JAMES AUDUBON PARKWAY AMHERST, NY 14228-1197			V.P. - Human Resources	

Signatures

Richard A.
Steinberg 10/30/2014

**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) Includes 7,567 shares of restricted stock issued to reporting person subject to forfeiture in whole or part; 356 shares become fully vested and non-forfeitable on 5/23/2015, 1,129 shares become fully vested and non-forfeitable 50% per year for two years beginning 5/21/2015, 1,341 shares become fully vested and non-forfeitable 33.33% per year for three years beginning 5/20/2015, 2,359 shares become fully vested and non-forfeitable on 5/21/2015, 1,309 shares become fully vested and non-forfeitable 25% for four years beginning 5/19/2015 and the remaining 1,073 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) The reporting person exercised 11,000 options on 10/28/2014. The remaining 22,409 options are all exercisable, subject to IRS limitations.
 - (4) All exercisable, subject to IRS limitations.
 - (5) Exercisable 25% per year for four years beginning 5/23/2012, if reporting person remains an employee of issuer.
 - (6) Exercisable 25% per year for four years beginning 5/21/2013, if reporting person remains an employee of issuer.
 - (7) Exercisable 25% per year for four years beginning 5/20/2014, if reporting person remains an employee of issuer.
 - (8) Exercisable 25% per year for four years beginning 5/19/2015, 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.