Wheeler Kevin J. Form 3 January 09, 2013

# FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104 January 31,

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

Expires: 2005 Estimated average

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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 \*

Wheeler Kevin J.

(Last)

(First)

(Middle)

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Statement

(Month/Day/Year)

01/01/2013

4. Relationship of Reporting

Person(s) to Issuer

SMITH A O CORP [AOS]

5. If Amendment, Date Original

Filed(Month/Day/Year)

A. O. SMITH CORPORATION, Â 500

TENNESSEE WALTZ **PARKWAY** 

(Street)

(Check all applicable)

Senior VP and President & GM

10% Owner Director \_X\_\_ Officer Other (give title below) (specify below)

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

ASHLAND CITY, TNÂ 37015

(City) (State) (Zip)

1. Title of Security (Instr. 4)

Table I - Non-Derivative Securities Beneficially Owned

Beneficially Owned

2. Amount of Securities

(Instr. 4)

Ownership Form:

4. Nature of Indirect Beneficial

Ownership

(Instr. 5)

or Indirect (I) (Instr. 5)

Direct (D)

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)

5. 4. Ownership Conversion or Exercise Form of Price of Derivative Derivative

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Security:

#### Edgar Filing: Wheeler Kevin J. - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Restricted Stock Units	(1)	(1)	Common Stock	3,150	\$ 0	D	Â
Employee Stock Options (Right to Buy)	(2)	(2)	Common Stock	10,300	\$ 0	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Wheeler Kevin J.						
A. O. SMITH CORPORATION	â	Â	Senior VP and President & GM	â		
500 TENNESSEE WALTZ PARKWAY	А	А	A Semor VP and President & GW			
ASHLAND CITY, TN 37015						

# **Signatures**

James F. Stern, Attorney-in-Fact for Kevin J. Wheeler

01/09/2013

\*\*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).
- Restricted stock units were granted under the A. O. Smith Combined Incentive Compensation Plan, a transaction exempt under Rule 16b-3: 1,050 restricted stock units were granted on 02/08/2010; 800 restricted stock units were granted on 02/07/2011; and 1,300 restricted stock units were granted on 02/13/2012. The restricted stock units become payable in Common Stock on the vesting date, which is three years after the grant date.
  - Employee stock options were granted under the A. O. Smith Combined Incentive Compensation Plan, a transaction exempt under Rule 16b-3: 1,950 employee stock options were granted on 02/09/2009 and became exercisable in three annual installments of 1/3 of the award starting on 02/09/2010; 2,8500 employee stock options were granted on 02/08/2010 and became exercisable in three annual installments
- (2) of 1/3 of the award starting on 02/08/2011; 2,000 employee stock options were granted on 02/07/2011 and became exercisable in three annual installments of 1/3 of the award starting on 02/07/2012; 3,500 employee stock options were granted on 02/13/2012 and become exercisable in three annual installments of 1/3 of the award starting on 02/13/2013. All employee stock options expire ten years after the date of the award.

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.

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