## Edgar Filing: ALCOA INC - Form 4

ALCOA IN	C										
Form 4											
April 06, 20								<u></u>			
FORM		STATES	SECU	DITIES				NT.	PPROVAL		
	UNITED	SIAIES		shington				Number:	3235-0287		
Check t	his box		VV à	ishington	, D.C. 20	1347			January 31,		
if no loi		AENT OF	F CHAI	NGES IN	Expires:	2005					
subject Section	10	0		SECUI		Estimated	Estimated average burden hours per				
Form 4								response	•		
Form 5	Filed put	rsuant to S	ection	16(a) of th	ne Securi	ties Exchai	nge Act of 1934,	•			
obligati may coi				•	•	- ·	of 1935 or Section	on			
See Inst		30(h)	of the I	nvestmen	t Compar	ny Act of 1	940				
1(b).											
(Print or Type	Responses)										
1. Name and	er Name <b>an</b>	<b>d</b> Ticker or	Trading	5. Relationship of Reporting Person(s) to							
KLEINFE	LD KLAUS		Symbol				Issuer				
			ALCO	A INC [A	AJ		(Che	eck all applicabl	e)		
(Last)	(First) (A	Middle)		of Earliest T	ransaction						
			onth/Day/Year)			X_ Director 10% Owner X_ Officer (give title Other (specify					
201 ISABELLA STREET 04/03/2			1372009			below)	below)				
							President and CEO				
	(Street)			Amendment, Date Original			6. Individual or Joint/Group Filing(Check				
Filed(M			Filed(Mo	onth/Day/Yea	r)		Applicable Line) _X_ Form filed by One Reporting Person				
PITTSRI	RGH, PA 15212							More than One R			
IIIISDOI	(011, 177 15212						Person				
(City)	(State)	(Zip)	Tab	ole I - Non-l	Derivative	Securities A	cquired, Disposed	of, or Beneficia	lly Owned		
1.Title of	2. Transaction Date	Execution Date, if		3.	4. Securities			6. Ownership	7. Nature of		
Security	(Month/Day/Year)			Transactio Code	nAcquired Disposed		Securities	Form: Direct (D) or Indirect	Indirect		
(Instr. 3)		any (Month/Da	v/Year)	(Instr. 8)	-		•	(I) of maneet	Ownership		
		``				,	Following	(Instr. 4)	(Instr. 4)		
						(A)	Reported Transaction(s)				
					<b>.</b> .	or	(Instr. 3 and 4)				
				Code V	Amount	(D) Price					
Reminder: Re	port on a separate line	e for each cla	ass of sec	urities bene	ficially ow	ned directly o	or indirectly.				
							pond to the colle		SEC 1474		

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 Acquired, Disposed of, or Beneficially Owned
 (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number	6. Date Exercisable and	7. Title and Amount of	8. Price
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	onof	Expiration Date	Underlying Securities	Derivativ
Security	or Exercise		any	Code	Derivative	(Month/Day/Year)	(Instr. 3 and 4)	Security

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(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8	8)	Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)				(Instr. 5)		
			Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock Units	<u>(1)</u>	04/03/2009	А		787		(2)	(2)	Common Stock	787	\$ 8.01

## **Reporting Owners**

Reporting Owner Name / Address	Relationships							
	Director	10% Owner	Officer	Other				
KLEINFELD KLAUS 201 ISABELLA STREET PITTSBURGH, PA 15212	Х		President and CEO					
Signatures								
Brenda Hart (Assistant Secreta attorney	04/06/2009							
<u>**</u> Signature of Reporting	Date							

\*\*Signature of Reporting Person

## **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) 1 For 1

Phantom stock units were acquired under the Alcoa Deferred Compensation Plan and are to be paid out in cash after termination of

- (2) employment. The reporting person may transfer the phantom stock into an alternative investment account under the Plan at times permitted under the Plan.
- As of 04/03/2009, the reporting person also held 3,360.3333 phantom stock units under the Alcoa Deferred Fee Plan for Directors which (3) are to be paid out in cash after Board service ends.

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.