

ALCOA INC

Form 3

October 28, 2013

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

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**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 *

Â Collins Robert Sean

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

10/21/2013

3. Issuer Name **and** Ticker or Trading Symbol
ALCOA INC [AA]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

390 PARK AVENUE

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
Vice President and Controller6. Individual or Joint/Group
Filing(Check Applicable Line)
☒ Form filed by One Reporting
Person
☐ Form filed by More than One
Reporting Person

NEW YORK,Â NYÂ 10022

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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

26,537.84

D

Â

Common Stock

1,133

I

By Wife in Company 401(k) Plan

Common Stock

3,596

I

By Company 401(k) Plan

Reminder: Report on a separate line for each class of securities beneficially
owned directly or indirectly.

SEC 1473 (7-02)

**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 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 Security4. Conversion
or Exercise5. Ownership
Form of6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (right to buy)	Â (1)	01/17/2014	Common Stock	3,356	\$ 28.79	D	Â
Employee Stock Option (right to buy)	Â (2)	01/23/2015	Common Stock	29,333	\$ 8.33	D	Â
Employee Stock Option (right to buy)	Â (3)	01/26/2020	Common Stock	19,260	\$ 13.54	D	Â
Employee Stock Option (right to buy)	Â (4)	01/25/2021	Common Stock	12,720	\$ 16.24	D	Â
Employee Stock Option (right to buy)	Â (5)	01/20/2022	Common Stock	40,680	\$ 10.17	D	Â
Employee Stock Option (right to buy)	Â (6)	01/16/2023	Common Stock	40,920	\$ 8.88	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Collins Robert Sean 390 PARK AVENUE NEW YORK, NY 10022	Â	Â	Â Vice President and Controller	Â

Signatures

Brenda Hart (Assistant Secretary), by power of attorney 10/28/2013

__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).

- (1) The option vested in three equal annual installments beginning January 17, 2009.
- (2) The option was part of an option grant that vested in three equal annual installments beginning January 23, 2010. The shares remaining subject to the option (reported in the table) vested on January 23, 2012.
- (3) The option vested in three equal annual installments beginning January 26, 2011.
- (4) The option vests in three equal annual installments beginning January 25, 2012.
- (5) The option vests in three equal annual installments beginning January 20, 2013.
- (6) The option vests in three equal annual installments beginning January 16, 2014.

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.