#### CORNING INC /NY

Form 3 May 01, 2015

### FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

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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 \*

Curran Martin J

(Last)

(First)

Statement

(Month/Day/Year)

05/01/2015

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

CORNING INC /NY [GLW]

4. Relationship of Reporting Person(s) to Issuer

Director

\_X\_\_ Officer

5. If Amendment, Date Original Filed(Month/Day/Year)

ONE RIVERFRONT PLAZA

(Street)

(Check all applicable)

6. Individual or Joint/Group 10% Owner

Other (give title below) (specify below) Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting Person

Form filed by More than One Exec. VP & Innovation Officer Reporting Person

CORNING, NYÂ 14831

(City) (State)

1. Title of Security

(Instr. 4)

(Zip)

(Middle)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

**Table I - Non-Derivative Securities Beneficially Owned** 

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Direct (D) or Indirect (I) (Instr. 5)

SEC 1473 (7-02)

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

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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)

Derivative Security (Instr. 4)

4. Conversion or Exercise

5. Form of

Ownership Derivative Security:

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

Amount or Title Number of Shares

3. Title and Amount of

Securities Underlying

Derivative Security

Price of

Direct (D) or Indirect (I)

(Instr. 5)

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Restricted Stock Unit	(1)	(1)	Common Stock	23,071	\$ (2)	D	Â
Restricted Stock Unit	(3)	(3)	Common Stock	14,747	\$ (2)	D	Â
Restricted Stock Unit	(4)	(4)	Common Stock	15,432	\$ (2)	D	Â
Restricted Stock Unit	(5)	(5)	Common Stock	5,827	\$ <u>(2)</u>	D	Â
Stock Options (Right to Buy)	12/06/2007	12/05/2016	Common Stock	18,000	\$ 21.89	D	Â
Stock Options (Right to Buy)	12/05/2008	12/04/2017	Common Stock	18,000	\$ 24.92	D	Â
Stock Options (Right to Buy)	02/01/2009	01/31/2016	Common Stock	11,250	\$ 24.72	D	Â
Stock Options (Right to Buy)	01/02/2010	01/01/2018	Common Stock	9,000	\$ 23.37	D	Â
Stock Options (Right to Buy)	02/01/2010	01/31/2017	Common Stock	9,000	\$ 20.86	D	Â
Stock Options (Right to Buy)	02/01/2011	01/31/2018	Common Stock	9,000	\$ 24.61	D	Â
Stock Options (Right to Buy)	02/01/2012(6)	02/01/2021	Common Stock	6,529	\$ 22.69	D	Â
Stock Options (Right to Buy)	03/01/2012(7)	03/01/2021	Common Stock	6,725	\$ 22.03	D	Â
Stock Options (Right to Buy)	03/01/2015	03/01/2022	Common Stock	16,063	\$ 12.97	D	Â
Stock Options (Right to Buy)	07/18/2015	07/18/2022	Common Stock	15,133	\$ 12.39	D	Â
Stock Options (Right to Buy)	03/28/2016	03/28/2023	Common Stock	23,220	\$ 13.33	D	Â
Stock Options (Right to Buy)	04/30/2016	04/30/2023	Common Stock	21,346	\$ 14.5	D	Â
Stock Options (Right to Buy)	05/31/2016	05/31/2023	Common Stock	20,138	\$ 15.37	D	Â
Stock Options (Right to Buy)	03/31/2017	03/31/2024	Common Stock	7,805	\$ 20.82	D	Â
Stock Options (Right to Buy)	04/30/2017	04/30/2024	Common Stock	7,771	\$ 20.91	D	Â
Stock Options (Right to Buy)	05/30/2017	05/30/2024	Common Stock	7,629	\$ 21.3	D	Â
	03/31/2018	03/31/2025		7,716	\$ 22.68	D	Â

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Stock Options (Right to Stock Options (Right to OA/20/2018 OA/20/2015 Common 8 201

Buy) 04/30/2018 04/30/2025 Common 8,361 \$ 20.93 D Â

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Curran Martin J

ONE RIVERFRONT PLAZA Êxec. VP & Innovation Officer CORNING, ÂNY Â 14831

## **Signatures**

18, 2016.

Linda E. Jolly, Power of Attorney 05/01/2015

\*\*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).
- The Restricted Stock Units vest 100% on April 18, 2016. Vested shares will be delivered to the reporting person within thirty (30) days (1) after April 18, 2016. Events such as retirement, death, disability, and others specified in the agreement may result in vesting prior to April
- (2) Each restricted stock unit represents a contingent right to receive one share of Corning Incorporated Common Stock.
- The Restricted Stock Units vest 100% on April 17, 2017. Vested shares will be delivered to the reporting person within thirty (30) days (3) after April 17, 2017. Events such as retirement, death, disability, and others specified in the agreement may result in vesting prior to April 17, 2017.
- The Restricted Stock Units vest 100% on April 16, 2018. Vested shares will be delivered to the reporting person within thirty (30) days

  (4) after April 16, 2018. Events such as retirement, death, disability, and others specified in the agreement may result in vesting prior to April
- (4) after April 16, 2018. Events such as retirement, death, disability, and others specified in the agreement may result in vesting prior to April 16, 2018.
- The Restricted Stock Units vest 100% on July 18, 2015. Vested shares will be delivered to the reporting person within sixty (60) days (5) after July 18, 2015. Events such as retirement, death, disability, and others specified in the agreement may result in vesting prior to July 18, 2015.
- (6) The options vest in three annual installments beginning on February 1, 2012.
- (7) The options vest in three annual installments beginning on March 1, 2012.

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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