

CORNING INC /NY
Form 3
May 01, 2015

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated 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 *

ROGUS MARK S

(Last) (First) (Middle)

ONE RIVERFRONT PLAZA

(Street)

CORNING, NY 14831

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

05/01/2015

3. Issuer Name and Ticker or Trading Symbol
CORNING INC /NY [GLW]

4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
Senior VP & Treasurer

5. 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

Table I - Non-Derivative Securities Beneficially Owned

1. 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

75,072

D

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)

Date Exercisable Expiration
Date

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title Amount or
Number of

4. Conversion
or Exercise
Price of
Derivative
Security

5. Ownership
Form of
Derivative
Security:
Direct (D)
or Indirect

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

Edgar Filing: CORNING INC /NY - Form 3

				Shares		(I) (Instr. 5)	
Restricted Stock Unit	Â <u>(1)</u>	Â <u>(1)</u>	Common Stock	13,829	\$ <u>(2)</u>	D	Â
Restricted Stock Unit	Â <u>(3)</u>	Â <u>(3)</u>	Common Stock	8,943	\$ <u>(2)</u>	D	Â
Restricted Stock Unit	Â <u>(4)</u>	Â <u>(4)</u>	Common Stock	8,818	\$ <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)	01/02/2008	01/01/2016	Common Stock	10,750	\$ 19.68	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)	01/02/2009	01/01/2017	Common Stock	9,000	\$ 18.85	D	Â
Stock Options (Right to Buy)	02/01/2009	01/31/2016	Common Stock	10,750	\$ 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)	02/02/2010 ⁽⁵⁾	02/01/2019	Common Stock	32,667	\$ 10.25	D	Â
Stock Options (Right to Buy)	12/02/2010 ⁽⁶⁾	12/02/2019	Common Stock	8,333	\$ 17.82	D	Â
Stock Options (Right to Buy)	01/04/2011 ⁽⁷⁾	01/04/2020	Common Stock	8,333	\$ 19.56	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)	02/01/2011 ⁽⁸⁾	02/01/2020	Common Stock	8,334	\$ 18.16	D	Â
Stock Options (Right to Buy)	01/03/2012 ⁽⁹⁾	01/03/2021	Common Stock	7,238	\$ 19.19	D	Â
Stock Options (Right to Buy)	02/01/2012 ⁽¹⁰⁾	02/01/2021	Common Stock	6,121	\$ 22.69	D	Â
Stock Options (Right to Buy)	03/01/2012 ⁽¹¹⁾	03/01/2021	Common Stock	6,305	\$ 22.03	D	Â
Stock Options (Right to Buy)	01/03/2015	01/03/2022	Common Stock	12,382	\$ 13.04	D	Â
	02/01/2015	02/01/2022		12,516	\$ 12.9	D	Â

Stock Options (Right to Buy)			Common Stock				
Stock Options (Right to Buy)	03/01/2015	03/01/2022	Common Stock	12,449	\$ 12.97	D	Â
Stock Options (Right to Buy)	03/28/2016	03/28/2023	Common Stock	13,843	\$ 13.33	D	Â
Stock Options (Right to Buy)	04/30/2016	04/30/2023	Common Stock	12,726	\$ 14.5	D	Â
Stock Options (Right to Buy)	05/31/2016	05/31/2023	Common Stock	12,005	\$ 15.37	D	Â
Stock Options (Right to Buy)	03/31/2017	03/31/2024	Common Stock	4,803	\$ 20.82	D	Â
Stock Options (Right to Buy)	04/30/2017	04/30/2024	Common Stock	4,782	\$ 20.91	D	Â
Stock Options (Right to Buy)	05/30/2017	05/30/2024	Common Stock	4,695	\$ 21.3	D	Â
Stock Options (Right to Buy)	03/31/2018	03/31/2025	Common Stock	4,409	\$ 22.68	D	Â
Stock Options (Right to Buy)	04/30/2018	04/30/2025	Common Stock	4,778	\$ 20.93	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ROGUS MARK S ONE RIVERFRONT PLAZA CORNING, NY 14831	Â	Â	Â Senior VP & Treasurer	Â

Signatures

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

Edgar Filing: CORNING INC /NY - Form 3

- (4) The Restricted Stock Units vest 100% on April 16, 2018. Vested shares will be delivered to the reporting person within thirty (30) days 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.
- (5) The options vest in three annual installments beginning on February 2, 2010.
- (6) The options vest in three annual installments beginning on December 2, 2010.
- (7) The options vest in three annual installments beginning on January 4, 2011.
- (8) The options vest in three annual installments beginning on February 1, 2011.
- (9) The options vest in three annual installments beginning on January 3, 2012.
- (10) The options vest in three annual installments beginning on February 1, 2012.
- (11) 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.