

ALCOA INC  
Form 4  
November 06, 2006

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN 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 \*  
REITAN BERNT

(Last) (First) (Middle)  
201 ISABELLA STREET  
(Street)

PITTSBURGH, PA 15212

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
ALCOA INC [AA]

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/03/2006

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Executive Vice President

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 Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)		
				(A) or (D)	Code	V	Amount	(D)	Price

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

**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.**

SEC 1474  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

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

Edgar Filing: ALCOA INC - Form 4

(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Derivative 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	(1)	11/03/2006	A		96		(2)	(2)	Common Stock	96	\$ 28.54

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
REITAN BERNT 201 ISABELLA STREET PITTSBURGH, PA 15212			Executive Vice President	

## Signatures

Brenda Hart (Assistant Secretary), by power of attorney  
 11/06/2006  
 \*\*Signature of Reporting Person Date

## 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 employment. The reporting person may transfer the phantom stock into an alternative investment account under the Plan at times permitted under the Plan.
- (3) As of 11/3/2006, the reporting person also held 33,295.19 phantom stock units under the Alcoa Stock Acquisition Plan, which vest three years after the applicable award date. Upon vesting, the units become subject to the provisions of the Alcoa Deferred Compensation Plan and are reported as held under that Plan.

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. 9pt" face=Arial,sans-serif>Sell

28-Jul  
 1,000  
 31.05

R\$ 31,050.00

Non-Voting Shares

Sell

28-Jul

3,000

31.07

R\$ 93,210.00

Non-Voting Shares

Sell

28-Jul

300

31.08

R\$ 9,324.00

Non-Voting Shares

Sell

28-Jul

3,000

31.09

R\$ 93,270.00

Non-Voting Shares

Sell

28-Jul

6,700

31.10

R\$ 208,370.00

Non-Voting Shares

Explanation of Responses:

Sell

28-Jul

1,000

31.11

R\$ 31,110.00

Non-Voting Shares

Sell

28-Jul

800

31.12

R\$ 24,896.00

Non-Voting Shares

Sell

28-Jul

1,200

31.13

R\$ 37,356.00

Non-Voting Shares

Sell

28-Jul

4,400

31.15

R\$ 137,060.00

Non-Voting Shares

Sell

28-Jul

		3,600
		31.16
		R\$ 112,176.00
Non-Voting Shares		
Sell		
	28-Jul	
		3,000
		31.17
		R\$ 93,510.00
Non-Voting Shares		
Sell		
	28-Jul	
		200
		31.18
		R\$ 6,236.00
Non-Voting Shares		
Sell		
	28-Jul	
		800
		31.19
		R\$ 24,952.00
Non-Voting Shares		
Sell		
	28-Jul	
		2,000
		31.22
Explanation of Responses:		5

R\$ 62,440.00

Non-Voting Shares

**Total**

**33,880**

**R\$ 1,054,306.00**

**Closing Balance**

Type of Securities/Derivatives

Quantity

% of participation

Same type of Shares

Total

Common Shares

13,090,070

0.6958

0.3479

Non-Voting Shares

18,150,380

0.9648

0.4824

**Company: Bradesco Leasing S.A. Arrendamento Mercantil**

**Group and Family Dependants**

**Board of Directors**

**Board of Executive Officers**

**Audit Committee**

**Technical and Advisory Agencies**

Explanation of Responses:

**Opening Balance**

Type of Securities/Derivatives

Quantity

% of participation

Same type of Shares

Total

Common Shares

6

0.0256

0.0256

Non-Voting Shares

0

0.0000

0.0000

**Closing Balance**

Type of Securities/Derivatives

Quantity

% of participation

Same type of Shares

Total

Common Shares

6

0.0256

0.0256

Non-Voting Shares

0

Explanation of Responses:

7

0.0000

0.0000

---



**CONSOLIDATE FORM**  
**Negotiation's from Administration and Families Dependants- Paragraph 11 - Instruction CVM n.º**  
**358/2002**

In July 2010 were done the following operations with securities and derivatives in accordance with Instruction CVM (Comissão de Valores Mobiliários) 358/2002 Paragraph 11

**Company: Banco Bradesco S.A.**

<b>Group and Family Dependants</b>	<b>( ) Board of Directors</b>	<b>(X) Board of Executive Officers</b>	<b>( ) Audit Committee</b>	<b>( ) Technical and Advisory Agencies</b>		
<b>Opening Balance</b>						
Type of Securities/Derivatives			Quantity	% of participation Same type of Shares    Total		
			815,297	0.0476    0.0238		
			1,869,654	0.1093    0.0546		
<b>Month Movement</b>						
Type of Securities/Derivatives	Broker	Operation	Day	Quantity	Price	Value in R\$
Common Shares	<b>Banco Bradesco S.A.</b>	Bonus Stock	16-Jul	70,570		
<b>Common Shares</b>		<b>Total</b>		<b>70,570</b>		
Non-Voting Shares		Bonus Stock	16-Jul	143,833		
<b>Non-Voting Shares</b>		<b>Total</b>		<b>143,833</b>		
Common Shares	<b>Bradesco S.A.</b>	Bonus Stock	16-Jul	10,949		
<b>Common Shares</b>		<b>Total</b>		<b>10,949</b>		
Non-Voting Shares		Bonus Stock	16-Jul	43,118		
<b>Non-Voting Shares</b>		<b>Total</b>		<b>43,118</b>		
Non-Voting Shares	<b>S.A.</b>	Buy	28-Jul	20	31.22	R\$ 624.40
Non-Voting Shares	<b>C.T.V.M.</b>	Buy	28-Jul	200	31.20	R\$ 6,240.00
<b>Non-Voting Shares</b>		<b>Total</b>		<b>220</b>		<b>R\$ 6,864.40</b>
Non-Voting Shares		Sell	29-Jul	15,400	32.00	R\$ 492,800.00
<b>Non-Voting Shares</b>		<b>Total</b>		<b>15,400</b>		<b>R\$ 492,800.00</b>
<b>Closing Balance</b>						
Type of Securities/Derivatives				Quantity		% of participation Same type of Shares    Total
				896,816		0.0476    0.0238
				1,954,938		0.1039    0.0519

**Observação:**

**Directors that were fired from Banco Bradesco**

**S.A.**

José Luiz Acar Pedro

Fernando Barbaresco

Marcos Villanova

---

**CONSOLIDATE FORM****Negotiation's from Administration and Families Dependants- Paragraph 11 - Instruction CVM n.º 358/2002**

In July 2010 were done the following operations with securities and derivatives in accordance with Instruction CVM (Comissão de Valores Mobiliários) 358/2002 Paragraph 11

**Company: Banco Bradesco S.A.**

<b>Group and Family Dependants</b>	<b>( ) Board of Directors</b>	<b>( ) Board of Executive Officers</b>	<b>(X) Audit Committee</b>	<b>( ) Technical and Advisory Agencies</b>		
<b>Opening Balance</b>						
Type of Securities/Derivatives				Quantity	% of participation Same type of Shares	Total
Common Shares				9,130	0.0005	0.0002
Non-Voting Shares				149,010	0.0087	0.0043
<b>Month Movement</b>						
Type of Securities/Derivatives	Broker	Operation	Day	Quantity	Price	Value in R\$
Common Shares	<b>Banco Bradesco S.A.</b>	Bonus Stock	16-Jul	126		
<b>Common Shares</b>		<b>Total</b>		<b>126</b>		
Non-Voting Shares	<b>Banco Bradesco S.A.</b>	Bonus Stock	16-Jul	6,533		
<b>Non-Voting Shares</b>		<b>Total</b>		<b>6,533</b>		
Common Shares	<b>Bradesco S.A.</b>	Bonus Stock	16-Jul	786		
<b>Common Shares</b>		<b>Total</b>		<b>786</b>		
Non-Voting Shares	<b>Bradesco S.A.</b>	Bonus Stock	16-Jul	8,297		
<b>Non-Voting Shares</b>		<b>Total</b>		<b>8,297</b>		
Non-Voting Shares	<b>C.T.V.M.</b>	Sell	1-Jul	700	28.55	R\$ 19,985.00
<b>Non-Voting Shares</b>	<b>Total</b>			<b>700</b>		<b>R\$ 19,985.00</b>
<b>Closing Balance</b>						
Type of Securities/Derivatives				Quantity	% of participation Same type of Shares	Total
Common Shares				10,042	0.0005	0.0002
Non-Voting Shares				163,140	0.0086	0.0043

**CONSOLIDATE FORM****Negotiation's from Administration and Families Dependants- Paragraph 11 - Instruction CVM n.º 358/2002**

In July 2010 were done the following operations with securities and derivatives in accordance with Instruction CVM (Comissão de Valores Mobiliários) 358/2002 Paragraph 11

**Company: Banco Bradesco S.A.**

**Group and Family Dependants**

**( ) Board of Directors**

**( ) Board of Executive Officers**

**( ) Audit Committee**

**(x) Technical and Advisory Agencies**

**Opening Balance**

Type of Securities/Derivatives	Quantity	% of participation Same type of Shares Total	
Common Shares	10,065	0.0005	0.0002
Non-Voting Shares	14,905	0.0008	0.0004

**Month Moviment**

Type of Securities/Derivatives	Broker	Operation	Day	Quantity	Price	Value in R\$
Common Shares	<b>Banco Bradesco S.A.</b>	Bonus Stock	16-Jul	1,006		
<b>Common Shares</b>		<b>Total</b>		<b>1,006</b>		
Non-Voting Shares		Bonus Stock	16-Jul	1,490		
<b>Non-Voting Shares</b>		<b>Total</b>		<b>1,490</b>		

**Closing Balance**

Type of Securities/Derivatives	Quantity	% of participation Same type of Shares Total	
Common Shares	11,071	0.0005	0.0002
Non-Voting Shares	16,395	0.0008	0.0004

