

TRINITY INDUSTRIES INC
Form 5
January 09, 2007

FORM 5

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

OMB APPROVAL

OMB Number: 3235-0362
Expires: January 31, 2005
Estimated average burden hours per response... 1.0

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).
Form 3 Holdings Reported Form 4 Transactions Reported

ANNUAL 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

1. Name and Address of Reporting Person *
HAY JESS T

2. Issuer Name and Ticker or Trading Symbol
TRINITY INDUSTRIES INC
[NYSE/TRN]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)
12/31/2006

Director 10% Owner
 Officer (give title below) Other (specify below)

2525 STEMMONS FREEWAY

(Street)

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

6. Individual or Joint/Group Reporting

(check applicable line)

DALLAS, TX 75207

Form Filed by One Reporting Person
 Form Filed by More than One Reporting Person

(City) (State) (Zip)

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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
Common Stock				(A) or (D) Price	6,000 ⁽¹⁾	D	

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 2270 (9-02)

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

Edgar Filing: TRINITY INDUSTRIES INC - Form 5

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Amount or Number of Shares	
					(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Trinity Stock Units	\$ 0	Â	Â	Â	Â	Â	Â (2)	Â (2)	Common Stock	1,500
Trinity Stock Units	\$ 0	Â	Â	Â	Â	Â	Â (2)	Â (2)	Common Stock	1,500
Trinity Stock Units	\$ 0	Â	Â	Â	Â	Â	Â (3)	Â (3)	Common Stock	2,250
Stock Option (right to buy)	\$ 22 (8)	Â	Â	Â	Â	Â	Â (6)	07/16/2007	Common Stock	7,500
Stock Option (right to buy)	\$ 28.625 (9)	Â	Â	Â	Â	Â	Â (7)	07/17/2008	Common Stock	7,500
Stock Option (right to buy)	\$ 22.125 (10)	Â	Â	Â	Â	Â	07/21/1999	07/21/2009	Common Stock	7,500
Stock Option (right to buy)	\$ 15.3333 (11)	Â	Â	Â	Â	Â	04/03/2000	04/03/2010	Common Stock	7,500
Stock Option (right to buy)	\$ 12.6333 (12)	Â	Â	Â	Â	Â	04/02/2001	04/02/2011	Common Stock	7,500
Stock Option (right to buy)	\$ 14.3 (13)	Â	Â	Â	Â	Â	05/13/2002	05/13/2012	Common Stock	7,500

buy)

Stock Option (right to buy)	\$ 11.3333 <u>(14)</u>	Â	Â	Â	Â	Â	05/29/2003	05/29/2013	Common Stock	7,500
--------------------------------------	---------------------------	---	---	---	---	---	------------	------------	-----------------	-------

Stock Option (right to buy)	\$ 18.94 <u>(15)</u>	Â	Â	Â	Â	Â	05/10/2004	05/10/2014	Common Stock	3,750
--------------------------------------	-------------------------	---	---	---	---	---	------------	------------	-----------------	-------

Stock Option (right to buy)	\$ 17.94 <u>(16)</u>	Â	Â	Â	Â	Â	05/09/2005	05/09/2015	Common Stock	3,750
--------------------------------------	-------------------------	---	---	---	---	---	------------	------------	-----------------	-------

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HAY JESS T 2525 STEMMONS FREEWAY DALLAS, TX 75207	Â X	Â	Â	Â

Signatures

Michael G. Fortado for Jess
T. Hay 01/08/2007

 **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) On May 26, 2006, the common stock of Trinity Industries, Inc. split 3-for-2, resulting in the reporting person's ownership of 2,000 additional shares of common stock.
- (2) Restricted Stock Units granted pursuant to Trinity Industries, Inc. Stock Option & Incentive Plan. Distribution is 1 for 1 in Trinity Stock after Director's termination.
- (3) Restricted Stock Units granted pursuant to Trinity Industries, Inc. Stock Option & Incentive Plan. Distribution is 1 for 1 in Trinity Stock after Director's termination. Units vest on the 1st business day immediately preceding the 2007 Annual Meeting of Stockholders.
- (4) On May 26, 2006, the common stock of Trinity Industries, Inc. split 3-for-2, resulting in the reporting person's ownership of 500 additional Trinity stock units.
- (5) On May 26, 2006, the common stock of Trinity Industries, Inc. split 3-for-2, resulting in the reporting person's ownership of 750 additional Trinity stock units.
- (6) Option Term is Ten Years. Options vest over 5 years at twenty percent (20%) per year beginning on the first anniversary of the grant date.
- (7) Option Term is Ten Years. Options vest 50% on grant date and 50% on the first anniversary of the grant date.
- (8) This option was previously reported as covering 5,000 shares at an exercise price of \$33.00 per share, but was adjusted to reflect the stock split that occurred on May 26, 2006.

Edgar Filing: TRINITY INDUSTRIES INC - Form 5

- (9) This option was previously reported as covering 5,000 shares at an exercise price of \$42.9375 per share, but was adjusted to reflect the stock split that occurred on May 26, 2006.
- (10) This option was previously reported as covering 5,000 shares at an exercise price of \$33.1875 per share, but was adjusted to reflect the stock split that occurred on May 26, 2006.
- (11) This option was previously reported as covering 5,000 shares at an exercise price of \$23.00 per share, but was adjusted to reflect the stock split that occurred on May 26, 2006.
- (12) This option was previously reported as covering 5,000 shares at an exercise price of \$18.95 per share, but was adjusted to reflect the stock split that occurred on May 26, 2006.
- (13) This option was previously reported as covering 5,000 shares at an exercise price of \$21.45 per share, but was adjusted to reflect the stock split that occurred on May 26, 2006.
- (14) This option was previously reported as covering 5,000 shares at an exercise price of \$17.00 per share, but was adjusted to reflect the stock split that occurred on May 26, 2006.
- (15) This option was previously reported as covering 2,500 shares at an exercise price of \$28.41 per share, but was adjusted to reflect the stock split that occurred on May 26, 2006.
- (16) This option was previously reported as covering 2,500 shares at an exercise price of \$26.91 per share, but was adjusted to reflect the stock split that occurred on May 26, 2006.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.