

ALCOA INC
Form 3
June 30, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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 *	2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol
Â Harvey Roy Christopher	(Month/Day/Year)	ALCOA INC [AA]
(Last) (First) (Middle)	06/24/2014	
390 PARK AVENUE		4. Relationship of Reporting Person(s) to Issuer
(Street)		(Check all applicable)
		☐ Director ☐ 10% Owner ☒ Officer ☐ Other (give title below) (specify below) Executive Vice President
NEW YORK, NY 10022		5. If Amendment, Date Original Filed(Month/Day/Year)
(City) (State) (Zip)		
		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	12,279	D	Â
Common Stock	7,584	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)

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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 Security (Instr. 4)	4. Conversion or Exercise Price of Derivative	5. Ownership Form of Derivative Security	6. Nature of Indirect Beneficial Ownership (Instr. 5)
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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (right to buy)	Â <u>(1)</u>	01/23/2015	Common Stock	12,427	\$ 8.33	D	Â
Employee Stock Option (right to buy)	Â <u>(2)</u>	01/26/2020	Common Stock	18,720	\$ 13.54	D	Â
Employee Stock Option (right to buy)	Â <u>(3)</u>	01/25/2021	Common Stock	24,480	\$ 16.24	D	Â
Employee Stock Option (right to buy)	Â <u>(4)</u>	01/20/2022	Common Stock	31,080	\$ 10.17	D	Â
Employee Stock Option (right to buy)	Â <u>(5)</u>	01/16/2023	Common Stock	41,760	\$ 8.88	D	Â
Employee Stock Option (right to buy)	Â <u>(6)</u>	01/16/2024	Common Stock	104,320	\$ 11.04	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Harvey Roy Christopher 390 PARK AVENUE NEW YORK,, NY 10022	Â	Â	Â Executive Vice President	Â

Signatures

Brenda Hart (Assistant Secretary), by power of attorney

06/30/2014

 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 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.
- (2) The option was part of an option grant that vested in three equal annual installments beginning January 26, 2011. The shares remaining subject to the option (reported in the table) vested in two equal annual installments on January 26, 2012 and January 26, 2013.
- (3) The option vested in three equal annual installments beginning January 25, 2012.
- (4) The option vests in three equal annual installments beginning January 20, 2013.
- (5) The option vests in three equal annual installments beginning January 16, 2014.
- (6) The option vests in three equal annual installments beginning January 16, 2015.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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