

CORNING INC /NY
Form 3
January 06, 2016

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 *

Â Ferrero Lisa

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

01/05/2016

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

4. Relationship of Reporting
Person(s) to Issuer

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

ONE RIVERFRONT PLAZA

(Street)

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer ____ Other
(give title below) (specify below)
Senior Vice President & CAO

6. Individual or Joint/Group
Filing(Check Applicable Line)
__X__ Form filed by One Reporting
Person
____ Form filed by More than One
Reporting Person

CORNING,Â NYÂ 14831

(City)

(State)

(Zip)

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

0

D

Â

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

SEC 1473 (7-02)

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information contained in this form are not
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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)

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)

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				Shares		(I) (Instr. 5)	
Restricted Stock Unit	Â <u>(1)</u>	Â <u>(1)</u>	Common Stock	15,941	\$ <u>(2)</u>	D	Â
Restricted Stock Unit	Â <u>(3)</u>	Â <u>(3)</u>	Common Stock	12,008	\$ <u>(2)</u>	D	Â
Restricted Stock Unit	Â <u>(4)</u>	Â <u>(4)</u>	Common Stock	11,023	\$ <u>(2)</u>	D	Â
Stock Options (Right to Buy)	12/06/2007	12/05/2016	Common Stock	15,000	\$ 21.89	D	Â
Stock Options (Right to Buy)	07/18/2008	07/17/2017	Common Stock	500	\$ 26.73	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	7,500	\$ 18.85	D	Â
Stock Options (Right to Buy)	02/01/2009	01/31/2016	Common Stock	8,250	\$ 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	7,500	\$ 20.86	D	Â
Stock Options (Right to Buy)	12/02/2010 ⁽⁵⁾	12/02/2019	Common Stock	8,333	\$ 17.82	D	Â
Stock Options (Right to Buy)	01/04/2011 ⁽⁶⁾	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 ⁽⁷⁾	02/01/2020	Common Stock	8,334	\$ 18.16	D	Â
Stock Options (Right to Buy)	01/03/2012 ⁽⁸⁾	01/03/2021	Common Stock	8,203	\$ 19.19	D	Â
Stock Options (Right to Buy)	02/01/2012 ⁽⁹⁾	02/01/2021	Common Stock	6,937	\$ 22.69	D	Â
Stock Options (Right to Buy)	03/01/2012 ⁽¹⁰⁾	03/01/2021	Common Stock	7,145	\$ 22.03	D	Â
Stock Options (Right to Buy)	03/28/2016	03/28/2023	Common Stock	15,182	\$ 13.33	D	Â
Stock Options (Right to Buy)	04/30/2016	04/30/2023	Common Stock	13,957	\$ 14.5	D	Â
	05/31/2016	05/31/2023		13,167	\$ 15.37	D	Â

Stock Options (Right to Buy)			Common Stock				
Stock Options (Right to Buy)	03/31/2017	03/31/2024	Common Stock	6,004	\$ 20.82	D	Â
Stock Options (Right to Buy)	04/30/2017	04/30/2024	Common Stock	5,978	\$ 20.91	D	Â
Stock Options (Right to Buy)	05/30/2017	05/30/2024	Common Stock	5,869	\$ 21.3	D	Â
Stock Options (Right to Buy)	03/31/2018	03/31/2025	Common Stock	5,511	\$ 22.68	D	Â
Stock Options (Right to Buy)	04/30/2018	04/30/2025	Common Stock	5,972	\$ 20.93	D	Â
Stock Options (Right to Buy)	05/29/2018	05/29/2025	Common Stock	5,975	\$ 20.92	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Ferrero Lisa ONE RIVERFRONT PLAZA CORNING, NY 14831	Â	Â	Â Senior Vice President & CAO	Â

Signatures

Linda E. Jolly, Power of Attorney 01/06/2016

__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.
 - (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 vested in three installments beginning on December 2, 2010.
 - (6) The options vested in three installments beginning on January 4, 2011.
 - (7) The options vested in three installments beginning on February 1, 2011.

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- (8) The options vested in three installments beginning on January 3, 2012.
- (9) The options vested in three installments beginning on February 1, 2012.
- (10) The options vested in three 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.

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