

SMITH HUDSON D
Form 5
November 09, 2011

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 *
SMITH HUDSON D

(Last) (First) (Middle)

SIFCO INDUSTRIES INC, 970
EAST 64TH STREET

(Street)

CLEVELAND, OH 44103

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
SIFCO INDUSTRIES INC [sif]

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)
09/30/2011

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)

6. Individual or Joint/Group Reporting

(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 at end of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|--|--|---|
| Voting Trust Certificates (1) | 01/26/2011 | | J(2) | 15,300 D | \$ 0 (2) | 15,300 I | Trustee for child |
| SIFCO Industries, Inc. Common | | | | | | 1,780 D | |

Edgar Filing: SMITH HUDSON D - Form 5

| | | | | | | | | | | |
|-------------------------------------|---|---|---|---|---|---|---------|---|--------------------------|--|
| Stock | | | | | | | | | | |
| Voting Trust Certificates (1) | Â | Â | Â | Â | Â | Â | 75,593 | D | Â | |
| Voting Trust Certificates (1) | Â | Â | Â | Â | Â | Â | 57,068 | I | Beneficiary of Trust (3) | |
| Voting Trust Certificates (1) | Â | Â | Â | Â | Â | Â | 121,678 | I | Beneficiary of Trust (4) | |
| Voting Trust Certificates (1) | Â | Â | Â | Â | Â | Â | 6,255 | I | Owned by wife | |
| SIFCO Industries, Inc. Common Stock | Â | Â | Â | Â | Â | Â | 1,400 | I | Owned by wife | |

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)

| 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. Price of Derivative Security (Instr. 5) | 9. of D Se B O E Is Fi (I |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---------------------------|
| | | | | | (A) (D) | Date Exercisable Expiration Date | Title | Amount or Number of Shares | |

Reporting Owners

Reporting Owner Name / Address Relationships

Reporting Owners

Director 10% Owner Officer Other

SMITH HUDSON D
SIFCO INDUSTRIES INC
970 EAST 64TH STREET
CLEVELAND, OH 44103

 X ^ ^ ^ ^

Signatures

Remigijus H. Belzinskas, by power of attorney

11/09/2011

__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) Voting Trust Certificates are for Common Shares of listed Company.
- (2) Trust was dissolved and the shares were transferred to the beneficiary of the trust.
- (3) Held in Trust by the Trustee of the Charles H. Smith, Jr. Irrevocable Trust.
- (4) Held in Trust by the Trustee of the R. Smith Irrevocable Trust.

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.