New York & Company, Inc.

Form 3

October 17, 2014

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

**OMB APPROVAL** 

**OMB** Number:

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, response... 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 \*

Ratner Adam

(Last)

(First) (Middle)

(Month/Day/Year)

08/19/2014

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

New York & Company, Inc. [NWY]

450 W. 33RD STREET, 5TH

**FLOOR** 

(Street)

Statement

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

(Check all applicable)

VP and General Counsel

Director \_X\_\_ Officer

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

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

4. Nature of Indirect Beneficial

NEW YORK, NYÂ 10001

(City) (State) (Zip)

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Table I - Non-Derivative Securities Beneficially Owned

Ownership Form: Direct (D)

Ownership (Instr. 5)

or Indirect (I) (Instr. 5)

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

6. Nature of Indirect Beneficial Ownership

(Instr. 5)

Date Exercisable

Expiration Date

Title

Amount or Security Number of Shares

Security: Direct (D) or Indirect

(I)

1

(Instr. 5)

Stock Appreciation Rights  $\hat{A}$   $\underline{(1)}$  08/19/2024  $\frac{Common}{Stock}$  7,500 \$ 3.22 D  $\hat{A}$ 

## **Reporting Owners**

Reporting Owner Name / Address Director 10% Owner Officer Other Ratner Adam  $\hat{A}$   $\hat{A}$   $\hat{A}$  VP and General Counsel  $\hat{A}$  NEW YORK,  $\hat{A}$  NY $\hat{A}$  10001

**Signatures** 

Adam Ratner 10/17/2014

\*\*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).

The reporting person was awarded stock appreciation rights (SARs) which vest as follows: 1,875 on August 19, 2015, 1,875 on August 19, 2016, 1,875 on August 19, 2016, 1,875 on August 19, 2018. Each SAR represents the right to receive a payment measured by the increase in the fair market value of one share of common stock from the date of grant of the SAR to the date of exercise of the SAR.

Upon exercise the SARs will be settled in stock.

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.

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