

GRAHAM CORP
Form 4
June 06, 2013

FORM 4

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

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

**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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Smith Alan E

(Last) (First) (Middle)

C/O GRAHAM
CORPORATION, 20 FLORENCE
AVENUE

(Street)

BATAVIA, NY 14020

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
GRAHAM CORP [GHM]

3. Date of Earliest Transaction
(Month/Day/Year)
06/04/2013

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer (give title below) ____ Other (specify below)
VP of Operations

6. Individual or Joint/Group Filing(Check
Applicable Line)
__X__ 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 Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	06/04/2013		S		87	D	\$ 27.25
Common Stock	06/04/2013		S		213	D	\$ 27.03
Common Stock	06/04/2013		S		100	D	\$ 27.01
Common Stock	06/04/2013		S		2	D	\$ 27
Common Stock	06/04/2013		S		100	D	\$ 26.95
							18,198
							17,985
							17,885
							17,883
							17,783

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Common Stock	06/04/2013	S	185	D	\$ 26.8	17,598	D
Common Stock	06/04/2013	S	100	D	\$ 27.24	17,498	D
Common Stock	06/04/2013	S	5	D	\$ 26.91	17,493	D
Common Stock	06/04/2013	S	295	D	\$ 26.9	17,198	D
Common Stock	06/04/2013	S	200	D	\$ 26.86	16,998	D
Common Stock	06/04/2013	S	200	D	\$ 26.85	16,798	D
Common Stock	06/04/2013	S	100	D	\$ 26.8	16,698	D
Common Stock	06/04/2013	S	102	D	\$ 26.75	16,596	D

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

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(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 or Value of Underlying Securities (Instr. 3 and 4)
						Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Option (Right to Buy)	\$ 30.875 ⁽¹⁾					05/29/2012	05/29/2018	Common Stock	1,114 ⁽¹⁾	
Stock Option	\$ 15.22 ⁽¹⁾					05/28/2012	05/28/2019	Common Stock	3,571 ⁽¹⁾	

(Right to
Buy)

Stock

Option \$ 15.25
(Right to (1)
Buy)

05/20/2013 05/20/2020 Common 3,118
Stock (1)

Stock

Option \$ 18.65
(Right to (2)
Buy)

(2) 05/30/2022 Common 6,059
Stock (2)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Smith Alan E C/O GRAHAM CORPORATION 20 FLORENCE AVENUE BATAVIA, NY 14020			VP of Operations	

Signatures

/s/ Alan E. 06/06/2013
Smith

 Signature of Date
Reporting Person

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) This option was previously reported by Mr. Smith.

(2) This option was previously reported by Mr. Smith and is exercisable 33 1/3% per year over three years beginning on the first anniversary of the 5/30/12 grant date.

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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