#### NORTHWEST PIPE CO

Form 4

January 17, 2017

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** Number:

3235-0287

Expires:

January 31, 2005

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**OMB APPROVAL** 

response...

Check this box if no longer subject to Section 16. Form 4 or

Form 5 obligations may continue.

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

See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Wilkins Aaron

2. Issuer Name and Ticker or Trading Symbol

NORTHWEST PIPE CO [NWPX]

5. Relationship of Reporting Person(s) to Issuer

(Last)

(City)

(Middle)

(Zip)

3. Date of Earliest Transaction

Director 10% Owner

(Check all applicable)

5721 SE COLUMBIA WAY SUITE

(State)

(First)

200

X\_ Officer (give title 01/15/2017

Other (specify below) VP of Finance &Corp Controller

(Street) 4. If Amendment, Date Original

Filed(Month/Day/Year)

(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

D

Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

VANCOUVER, WA 98661

1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or (Instr. 3) Code Disposed of (D) (Month/Day/Year) (Instr. 8)

(Instr. 3, 4 and 5)

5. Amount of 6. Ownership 7. Nature of Securities Form: Direct Beneficially (D) or Owned Following (Instr. 4) Reported

Indirect (I) Ownership (Instr. 4)

Indirect

Beneficial

(9-02)

(A) Transaction(s) or (Instr. 3 and 4)

Code Amount (D) Price

Common Stock

01/15/2017

M 65 Α (1) 143

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

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

#### Edgar Filing: NORTHWEST PIPE CO - Form 4

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transact<br>Code<br>(Instr. 8) | 5. ionNumber of Derivati Securiti Acquire (A) or Dispose of (D) (Instr. 3 4, and 5 | Expiration I (Month/Dayive es ed ed ed |                    |                 | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |   |
|---|---|---|---|--------------------------------------|--|--|--------------------|-----------------|---|---|
|   |   |   |   | Code V                               | ' (A) ( <u>Г</u>   | Date<br>Exercisable                    | Expiration<br>Date | Title           | Amount<br>or<br>Number<br>of<br>Shares                        |   |
| Restricted<br>Stock Units                           | (1)   | 01/15/2017                              |   | M                                    | 6.   | 5 (2)                                  | (2)                | Common<br>Stock | 65  | C |
| Performance<br>Shares                               | <u>(3)</u>  |   |   |                                      |  | (3)                                    | (3)                | Common<br>Stock | <u>(3)</u>  |   |

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Wilkins Aaron 5721 SE COLUMBIA WAY SUITE 200 VANCOUVER, WA 98661

VP of Finance &Corp Controller

## **Signatures**

/s/ Aaron Wilkins 01/17/2017

\*\*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) Each Restricted Stock Unit represents a contingent right to receive one share of Northwest Pipe Company common stock.
- (2) The Restricted Stock Units vest in installments as follows: 1/3 on January 15, 2015, 1/3 on January 15, 2016 and 1/3 on January 15, 2017.
- Performance Shares vest in an amount ranging from 0-200% to the extent such Performance Shares are earned. Performance Shares are earned based on Northwest Pipe Company's total shareholder return for a specific time period relative to the total shareholder return of a

(3) earned based on Northwest Pipe Company's total shareholder return for a specific time period relative to the total shareholder return of a peer group over the same period.

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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