

ACTUANT CORP
Form 4
July 15, 2013

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
ARZBAECHER ROBERT C

(Last) (First) (Middle)

N86 W12500 WESTBROOK CROSSING

(Street)

MENOMONEE FALLS, WI 53051

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
ACTUANT CORP [ATU]

3. Date of Earliest Transaction (Month/Day/Year)
07/11/2013

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)
President and CEO

6. Individual or Joint/Group Filing(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 Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount (A) or (D) Price		
Class A Common Stock	07/11/2013		M		43,027 A \$ 17.12	522,409	D
Class A Common Stock	07/11/2013		S ⁽¹⁾		43,027 D \$ 35.26 ⁽²⁾	479,382	D
Class A Common Stock	07/12/2013		M		3,148 A \$ 17.12	482,530	D
Class A Common	07/12/2013		M		27,506 A \$ 20.05	510,036	D

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Stock								
Class A Common Stock	07/12/2013	S ⁽¹⁾	30,654	D	\$ 35.31 (3)	479,382	D	
Class A Common Stock	07/15/2013	M	24,709	A	\$ 20.05	504,091	D	
Class A Common Stock	07/15/2013	S ⁽¹⁾	24,709	D	\$ 35.35 (4)	479,382	D	
Class A Common Stock						60,000	I	By Family Limited Partnerships
Class A Common Stock						36,546 ⁽⁵⁾	I	By 401(k)
Class A Common Stock						11,900	I	By IRA
Class A Common Stock						2,200	I	By Family ⁽⁶⁾
Class A Common Stock						2,400	I	By Spouse
Class A Common Stock						33,817 ⁽⁷⁾	I	By Deferred Compensation

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)
				Code V	(A) (D)		Title

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					Date Exercisable	Expiration Date		Amount or Number of Shares
Employee Stock Option (Right to Buy) ⁽⁸⁾	\$ 17.12	07/11/2013	M	43,027	<u>(9)</u>	04/29/2014	Class A Common Stock	43,027
Employee Stock Option (Right to Buy) ⁽⁸⁾	\$ 17.12	07/12/2013	M	3,148	<u>(9)</u>	04/29/2014	Class A Common Stock	3,148
Employee Stock Option (Right to Buy) ⁽¹⁰⁾	\$ 20.05	07/12/2013	M	27,506	<u>(11)</u>	10/27/2014	Class A Common Stock	27,506
Employee Stock Option (Right to Buy) ⁽¹⁰⁾	\$ 20.05	07/15/2013	M	24,709	<u>(11)</u>	10/27/2014	Class A Common Stock	24,709

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ARZBAECHER ROBERT C N86 W12500 WESTBROOK CROSSING MENOMONEE FALLS, WI 53051	X		President and CEO	

Signatures

/s/ Eric Orsic as
Attorney-in-Fact 07/15/2013

**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) The sales reported on this Form 4 were effected pursuant to a 10b5-1 trading plan.
The price reported in column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$35.12 to \$35.49 inclusive. The reporting person undertakes to provide Actuant Corporation, any securityholder of Actuant Corporation, or the Staff of the Securities and Exchange Commission, upon request, separate prices within the range set forth in footnote (2) to this Form 4.
 - (3) The price reported in column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$35.20 to \$35.41 inclusive. The reporting person undertakes to provide Actuant Corporation, any securityholder of Actuant Corporation, or the

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Staff of the Securities and Exchange Commission, upon request, separate prices within the range set forth in footnote (3) to this Form 4.

The price reported in column 4 is a weighted average price. The shares were sold in multiple transactions at prices ranging from \$35.27 to \$35.51 inclusive. The reporting person undertakes to provide Actuant Corporation, any securityholder of Actuant Corporation, or the Staff of the Securities and Exchange Commission, upon request, separate prices within the range set forth in footnote (4) to this Form 4.

Represents the best estimate of the number of share equivalents held by the reporting person in the unitized stock fund of the Actuant 401(k) Plan. The unitized stock fund consists of stock of Actuant and cash and other short term investments. The number of Actuant share equivalents fluctuates depending on the ratio of the number of shares of stock of Actuant in the fund to other investments.

- (6) Owned by daughters.
- (7) Best estimate of shares held pursuant to the Actuant Corporation Deferred Compensation Plan.
- (8) Option granted under the Actuant Corporation 2001 Stock Option Plan.
- (9) Fifty percent of the option became exercisable on 04/29/2006 and the balance became exercisable on 04/29/2009.
- (10) Option granted under the Actuant Corporation 2002 Stock Option Plan.
- (11) Fifty percent of the option became exercisable on 10/27/2006 and the balance became exercisable on 10/27/2009.

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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