

ROSENBAUM LEONARD A
Form 4
September 08, 2011

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
ROSENBAUM LEONARD A

(Last) (First) (Middle)

C/O CVD EQUIPMENT CORPORATION, 1860 SMITHTOWN AVE

(Street)

RONKONKOMA, NY 11779

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
CVD EQUIPMENT CORP [CVV]

3. Date of Earliest Transaction (Month/Day/Year)
09/06/2011

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)
CEO, President

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 |
| Common Stock | 09/06/2011 | | S | | 1,000 | D | \$ 17.61 (1) |
| Common Stock | 09/06/2011 | | S | | 16,800 | D | \$ 18.18 (2) |
| Common Stock | 09/06/2011 | | S | | 3,200 | D | \$ 18.54 (3) |
| Common | 09/06/2011 | | S | | 30,130 | D | \$ 1,201,600 |

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| | | | | | | | | |
|--------------|------------|--|---|--------|------------|------------|-----------|---|
| Stock | | | | | 19.08 | | | |
| | | | | | <u>(4)</u> | | | |
| | | | | | \$ | | | |
| Common Stock | 09/07/2011 | | S | 1,000 | D | 18.71 | 1,200,600 | D |
| | | | | | | <u>(5)</u> | | |
| | | | | | | \$ | | |
| Common Stock | 09/07/2011 | | S | 23,150 | D | 18.98 | 1,177,450 | D |
| | | | | | | <u>(6)</u> | | |
| | | | | | | \$ | | |
| Common Stock | 09/08/2011 | | S | 1,000 | D | 17.78 | 1,176,450 | D |
| | | | | | | <u>(7)</u> | | |
| | | | | | | \$ | | |
| Common Stock | 09/08/2011 | | S | 1,000 | D | \$ 18.5 | 1,175,450 | D |
| | | | | | | <u>(8)</u> | | |

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.

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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 of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Owned Following Transaction (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|-------------------|-------|
| | Director | 10% Owner | Officer | Other |
| ROSENBAUM LEONARD A C/O CVD EQUIPMENT CORPORATION 1860 SMITHTOWN AVE RONKONKOMA, NY 11779 | X | | CEO, President | |

Signatures

Leonard A.
Rosenbaum

09/08/2011

 **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) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$17.50 to \$17.69. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected. These sales were made pursuant to a 10b5-1 Plan.

(2) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$17.49 to \$18.49. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected. These sales were made pursuant to a 10b5-1 Plan.

(3) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$18.50 to \$18.64. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected. These sales were made pursuant to a 10b5-1 Plan.

(4) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$18.50 to \$19.40. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected.

(5) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$18.59 to \$18.87. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected. These sales were made pursuant to a 10b5-1 Plan.

(6) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$18.76 to \$19.30. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected.

(7) This price represents the weighted average prices for multiple transactions reported on this line. The per share prices of the transactions reported on this line ranged from \$17.65 to \$17.91. Upon request by the SEC staff, the Issuer or a security holder of the Issuer, the Reporting Person will undertake to provide full information regarding the number of shares and prices at which the transactions were effected. These sales were made pursuant to a 10b5-1 Plan.

(8) This sale was made pursuant to a 10b5-1 Plan.

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.