ALCOA INC Form 3 June 04, 2013

### FORM 3 UN

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

OMB APPROVAL

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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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement ALCOA INC [AA] Wilt Robert G (Month/Day/Year) 06/01/2013 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 390 PARK AVENUE (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director \_X\_ Form filed by One Reporting \_X\_\_ Officer Other Person NEW YORK, NYÂ 10022 (give title below) (specify below) Form filed by More than One **Executive Vice President** Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Common Stock D Â 39,550 Common Stock 4,351 I By Company 401(k) Plan Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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.

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		6. Nature of Indirect Beneficial Ownership (Instr. 5)
			Derivative	security.	

#### Edgar Filing: ALCOA INC - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (right to buy)	(1)	01/23/2015	Common Stock	16,867	\$ 8.33	D	Â
Employee Stock Option (right to buy)	(2)	01/26/2020	Common Stock	37,280	\$ 13.54	D	Â
Employee Stock Option (right to buy)	(3)	01/20/2022	Common Stock	68,160	\$ 10.17	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships				
<b>Fg</b>	Director	10% Owner	Officer	Other	
Wilt Robert G 390 PARK AVENUE NEW YORK, NY 10022	Â	Â	Executive Vice President	Â	

## **Signatures**

Brenda Hart (Assistant Secretary), by power of attorney 06/04/2013

\*\*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).
- (1) The option was part of an option grant that vested in three equal annual installments beginning January 23, 2010. The shares remaining subject to the option (reported in the table) vested on January 23, 2012.
- (2) The option was part of an option grant that vested in three equal annual installments beginning January 26, 2011. The shares remaining subject to the option (reported in the table) vested in two equal annual installments on January 26, 2012 and January 26, 2013.
- (3) The option vests in three equal annual installments beginning January 20, 2013.

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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