

BERGERON DANIEL A
Form 4
July 03, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
BERGERON DANIEL A

(Last) (First) (Middle)
129 PEACEABLE STREET
(Street)

REDDING, CT 06896

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
RBC Bearings INC [ROLL]

3. Date of Earliest Transaction (Month/Day/Year)
07/01/2018

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)
VP, CFO and COO

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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| Common Stock | 07/01/2018 | | F | 772 (1) D | \$ 65,789 (2) (3) 128.81 (4) | D | |

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.

SEC 1474 (9-02)

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

Edgar Filing: BERGERON DANIEL A - Form 4

| 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. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Option to Purchase Common Stock | \$ 44.6 | | | | | 06/04/2013 ⁽⁵⁾ 06/04/2019 | Common Stock | 20,000 |
| Option to Purchase Common Stock | \$ 51.08 | | | | | 06/14/2014 ⁽⁵⁾ 06/14/2020 | Common Stock | 20,000 |
| Option to Purchase Common Stock | \$ 64.15 | | | | | 07/01/2015 ⁽⁶⁾ 07/01/2021 | Common Stock | 20,000 |
| Option to Purchase Common Stock | \$ 72.83 | | | | | 07/01/2016 ⁽⁷⁾ 07/01/2022 | Common Stock | 25,000 |
| Option to Purchase Common Stock | \$ 72.94 | | | | | 07/08/2017 ⁽⁸⁾ 07/08/2023 | Common Stock | 40,000 |
| Option to Purchase Common Stock | \$ 99.64 | | | | | 06/27/2018 ⁽⁹⁾ 06/27/2024 | Common Stock | 30,000 |
| Option to Purchase Common Stock | \$ 132.12 | | | | | 06/07/2019 ⁽¹⁰⁾ 06/07/2025 | Common Stock | 35,000 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

BERGERON DANIEL A
129 PEACEABLE STREET
REDDING, CT 06896

VP, CFO and COO

Signatures

/s/Thomas J. Williams /attorney
in fact

07/03/2018

__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) Represents shares withheld by the Company to pay tax liability related to the vesting of restricted stock
25,000 shares of the reported Common Stock are Restricted Shares. 1/3 vest on 6/7/2019, 1/3 vest on 6/7/2020 and 1/3 vest on 6/7/2021.
- (2) Unvested shares of Restricted Stock (i) may be immediately forfeited to the Company at the time the grantee ceases to be an officer or employee of, or otherwise perform services for, the company or its subsidiaries under certain circumstances or (ii) may lapse upon the happening of certain events.
6,667 shares of the reported Common Stock are Restricted Shares. The Restrictions lapse in accordance with the following schedule - 1/2 vest on 6/27/2019 and 1/2 vest on 6/27/2020. Unvested shares of Restricted Stock (i) may be immediately forfeited to the Company at the time the grantee ceases to be an officer or employee of, or otherwise perform services for, the Company or its subsidiaries under certain circumstances or (ii) may lapse upon the happening of certain events.
- (3) 6,667 shares of the reported Common Stock are Restricted Shares. The Restrictions lapse in accordance with the following schedule - 1/2 vest on 7/8/2018 and 1/2 vest on 7/8/2019. Unvested shares of Restricted Stock 1- may be immediately forfeited to the Company at the time the grantee ceases to be an officer or employee of, or otherwise perform services for, the Company or its subsidiaries under certain circumstances or 2- may lapse upon the happening of certain events.
- (4) Options to purchase shares of Common Stock expire 7 years from grant date.
- (5) Options to purchase shares of Common Stock vest on 7/1/2019. Options expire 7 years from grant date.
- (6) Options to purchase shares of Common Stock are subject to the following vesting schedule - 1/2 vest on 7/1/2019 and 1/2 vest on 7/1/2020. Options expire 7 years from grant date.
- (7) Options to purchase shares of Common Stock are subject to the following vesting schedule- 1/4 vest on 7/8/2018, 1/4 vest on 7/8/2019, 1/4 vest on 7/8/2020 and 1/4 vest on 7/8/2021. Options expire 7 years from grant date.
- (8) Options to purchase shares of Common Stock are subject to the following vesting schedule - 1/4 vest on 6/27/2019, 1/4 vest on 6/27/2020, 1/4 vest on 6/27/2021 and 1/4 vest on 6/27/2022. Options expire 7 years from grant date.
- (9) Options to purchase shares of Common Stock are subject to the following vesting schedule - 1/5 vest on 6/7/2019, 1/5 vest on 6/7/2020, 1/5 vest on 6/7/2021, 1/5 vest on 6/7/2022 and 1/5 vest on 6/7/2023. Options expire 7 years from grant date.
- (10)

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.