

PGT, Inc.
Form 4
August 12, 2013

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 *
West Bradley R

(Last) (First) (Middle)
C/O PGT, INC., 1070
TECHNOLOGY DRIVE
(Street)

NORTH VENICE, FL 34275

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
PGT, Inc. [PGTI]

3. Date of Earliest Transaction
(Month/Day/Year)
08/08/2013

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)
Vice 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 Ownership (Instr. 4) |
|--|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock, par value \$0.01 per share | 08/08/2013 | | M | | 9,136 | A | \$ 2 |
| Common Stock, par value \$0.01 per share | 08/08/2013 | | F | | 3,750 (1) | D | \$ 10.39 |
| Common Stock, par value \$0.01 per share | 08/08/2013 | | S | | 5,386 | D | \$ 10.39 |

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| | | | | | | | | |
|--|------------|---|------------------------------|---|----------|--------|---|-----|
| Common Stock, par value \$0.01 per share | 08/09/2013 | M | 60,864 | A | \$ 2 | 63,922 | D | |
| Common Stock, par value \$0.01 per share | 08/09/2013 | F | <u>25,351</u> ⁽²⁾ | D | \$ 10.16 | 38,571 | D | |
| Common Stock, par value \$0.01 per share | 08/09/2013 | S | 35,513 | D | \$ 10.16 | 3,058 | I | IRA |

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) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Stock Option (Right to Buy) | \$ 2 | 08/08/2013 | | M | 70,000 | <u>(3)</u> 04/06/2020 | Common Stock | 70,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|----------------|-------|
| | Director | 10% Owner | Officer | Other |
| West Bradley R C/O PGT, INC. 1070 TECHNOLOGY DRIVE NORTH VENICE, FL 34275 | | | Vice President | |

Signatures

/s/ Bradley West

08/12/2013

**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) Reflects 3,750 shares withheld at market price of \$10.39 per share less an exercise price of \$2.00 per share to fund the cashless exercise of 9,136 options owned by Mr. West and the tax liability associated therewith. Such cashless exercise was in accordance with terms and provisions of the Company's Amended and Restated 2006 Equity Incentive Plan as approved by the Board of Directors
 - (2) Reflects 25,351 shares withheld at market price of \$10.16 per share less an exercise price of \$2.00 per share to fund the cashless exercise of 60,864 options owned by Mr. West and the tax liability associated therewith. Such cashless exercise was in accordance with terms and provisions of the Company's Amended and Restated 2006 Equity Incentive Plan as approved by the Board of Directors
 - (3) An aggregate of 232,411 options exercisable in five approximately equal annual installments beginning on April 6, 2011.

Remarks:

The transactions reported in the above Table I reflect the cashless exercise of stock options. The cashless exercise of the optio

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