

CUMMINGS ROBERT F JR

Form 4

July 02, 2018

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

OMB APPROVAL

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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 \*  
CUMMINGS ROBERT F JR

2. Issuer Name **and** Ticker or Trading  
Symbol  
CORNING INC /NY [GLW]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)

ONE RIVERFRONT PLAZA

3. Date of Earliest Transaction  
(Month/Day/Year)  
06/29/2018

☒ Director ☐ 10% Owner  
☐ Officer (give title below) ☐ Other (specify below)

(Street)

4. If Amendment, Date Original  
Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check  
Applicable Line)

CORNING, NY 14831

☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting  
Person

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|---|---|--------------------------------------|--|--|--|---|
|                                       |   |   | Code                                 | V  | Amount   | (D)  | Price   |

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)**

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of Derivative<br>Securities<br>Acquired | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) | 8. Pr<br>Deri<br>Secu<br>(Instr. |
|---|--|---|---|--------------------------------------|--|--|---|----------------------------------|
|---|--|---|---|--------------------------------------|--|--|---|----------------------------------|

# Edgar Filing: CUMMINGS ROBERT F JR - Form 4

| Derivative<br>Security   | (A) or<br>Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) |            | Code | V | (A)        | (D) | Date<br>Exercisable | Expiration<br>Date | Title           | Amount<br>or<br>Number<br>of Shares |      |
|--------------------------|---|------------|------|---|------------|-----|---------------------|--------------------|-----------------|-------------------------------------|------|
| Restricted<br>Stock Unit | (1)   | 06/29/2018 | A    |   | 1,409      |     | (2)                 | (2)                | Common<br>Stock | 1,409                               | \$ 2 |
| Restricted<br>Stock Unit | (1)   | 06/29/2018 | A    |   | 630<br>(3) |     | (2)                 | (2)                | Common<br>Stock | 630                                 | \$ 2 |
| Restricted<br>Stock Unit | (4)   |            |      |   |            |     | (5)                 | (5)                | Common<br>Stock | 11,447                              |      |

## Reporting Owners

| Reporting Owner Name / Address                                    | Relationships                    |
|---|----------------------------------|
|   | Director 10% Owner Officer Other |
| CUMMINGS ROBERT F JR<br>ONE RIVERFRONT PLAZA<br>CORNING, NY 14831 | X                                |

## Signatures

Linda E. Jolly, Power of Attorney 07/02/2018

\_\_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 restricted stock units granted under the Non-Employee Directors' Deferred Compensation Plan. Each restricted stock unit represents a contingent right to receive one share of Corning Incorporated Common Stock.
- (2) Conversion of restricted stock units to the Company's common stock and distribution of such stock under the Non-Employee Directors' Deferred Compensation Plan is deferred until a specific date as elected by the participant or termination of service as a Corning director.
- (3) Units acquired pursuant to dividend reinvestment feature of Non-Employee Directors' Deferred Compensation Plan for which no additional price was paid.
- (4) Represents annual equity retainer in the form of restricted stock units granted under the 2010 Equity Plan For Non-Employee Directors. Each restricted stock unit represents a contingent right to receive one share of Corning Incorporated Common Stock.
- (5) Conversion of restricted stock units to the Company's common stock and distribution of such stock is deferred until a specific date as elected by the participant or termination of service as a Corning director.

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.