SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| I | | OVAL | | | | | | | | |
|---|--------------------------|-----------|--|--|--|--|--|--|--|--|
| | OMB Number: | 3235-0287 | | | | | | | | |
| | Estimated average burden | | | | | | | | | |
| | hours per response: | 0.5 | | | | | | | | |

Г

| 1. Name and OBrien T | Address of Reporting P | erson* | 2. Issuer Name and Ticker or Trading Symbol <u>RBC Bearings INC</u> [ROLL] | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | | | | |
|-------------------------|--|----------|--|-----------------------------------|--|-----------------------|--|--|--|--|--|--|
| | <u>I IIOIIIdS J</u> | | | X | Director | 10% Owner | | | | | | |
| (Last) 392 KENS | (First) INGTON ROAD | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year) 02/09/2018 | | Officer (give title below) | Other (specify below) | | | | | | |
| | | | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | /idual or Joint/Group Fili | ng (Check Applicable | | | | | | |
| (Street) | | | | Line) | | nantian Danaan | | | | | | |
| SOUTHINGTON CT 06489 | | 06489 | | X Form filed by One Reporting Per | | | | | | | | |
| , | | | | | Form filed by More the Person | an One Reporting | | | | | | |
| (City) | (State) | (Zip) | | | | | | | | | | |
| | 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) | Code (| Transaction Dispos Code (Instr. | | Acquirec (D) (Instr | | 5. Amount of Securities Beneficially Owned Following Reported | 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 | Transaction(s) (Instr. 3 and 4) | | |
| Common Stock | 02/09/2018 | | М | | 2,500 | A | \$39.16 | 18,500 ⁽¹⁾⁽²⁾ | D | |
| Common Stock | 02/09/2018 | | D | | 2,500 | D | \$116.3863 | 16,000 ⁽¹⁾⁽²⁾ | D | |

| 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) | | ansaction of ode (Instr. Derivative | | 6. Date Exerci Expiration Dat (Month/Day/Ye | 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4) | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | | |
|---|---|--|---|------|--|-----|---|--|--------------------|---|--|--|--|---|--|
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |
| Option to Purchase Common Stock | \$39.16 | 02/09/2018 | | М | | | 2,500 | 07/07/2012 ⁽³⁾ | 07/07/2018 | Common Stock | 2,500 | \$39.16 | 0 | D | |
| Option to Purchase Common Stock | \$44.6 | | | | | | | 06/04/2013 ⁽³⁾ | 06/04/2019 | Common Stock | 2,500 | | 2,500 | D | |
| Option to Purchase Common Stock | \$51.08 | | | | | | | 06/14/2014 ⁽⁴⁾ | 06/14/2020 | Common Stock | 2,500 | | 2,500 | D | |
| Option to Purchase Common Stock | \$64.15 | | | | | | | 07/01/2015 ⁽⁵⁾ | 07/01/2021 | Common Stock | 2,000 | | 2,000 | D | |
| Option to Purchase Common Stock | \$72.83 | | | | | | | 07/01/2016 ⁽⁶⁾ | 07/01/2022 | Common Stock | 2,000 | | 2,000 | D | |
| Option to Purchase Common Stock | \$72.94 | | | | | | | 07/08/2017 ⁽⁷⁾ | 07/08/2023 | Common Stock | 2,000 | | 2,000 | D | |
| Option to Purchase Common Stock | \$99.64 | | | | | | | 06/27/2018 ⁽⁸⁾ | 06/27/2024 | Common Stock | 2,000 | | 2,000 | D | |

Explanation of Responses:

1. 416 shares of the reported Common Stock are Restricted Shares. The Restrictions lapse on 7/1/2018. 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. 2. 833 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 the reported Common Stock are Restricted Shares of the reported Common

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. Options to purchase shares of Common Stock expire 7 years from grant date.

4. Options to purchase shares of Common Stock vest on 6/14/2018. Options expire 7 years from grant date.

5. Options to purchase shares of Common Stock are subject to the following vesting schedule- 1/2 vest on 7/1/2018 and 1/2 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- 1/3 vest on 7/1/2018, 1/3 vest on 7/1/2019 and 1/3 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- 1/5 vest on 6/27/2018, 1/5 vest on 6/27/2019, 1/5 vest on 6/27/2020, 1/5 vest on 6/27/2021 and 1/5 vest on 6/27/2022. Options expire 7 years from grant date.

Remarks:

/s/Thomas J. Williams /attorney 02/09/2018

in fact ** Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.