

CORNING INC /NY

Form 3

January 06, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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 *

Â Ferrero Lisa

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

01/05/2016

3. Issuer Name and Ticker or Trading Symbol

CORNING INC /NY [GLW]

4. Relationship of Reporting Person(s) to Issuer

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

ONE RIVERFRONT PLAZA

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Senior Vice President & CAO

6. Individual or Joint/Group

Filing(Check Applicable Line)

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

CORNING,Â NYÂ 14831

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities Beneficially Owned
(Instr. 4)3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock - Held by Spouse

0

I

Held by Spouse ⁽¹⁾

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

SEC 1473 (7-02)

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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)

Date Exercisable Expiration Date

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

Title Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)
or Indirect6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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				Shares		(I) (Instr. 5)	
Stock Options (Right to Buy)	01/02/2009	01/01/2017	Common Stock	4,500	\$ 18.85	I	Held by Spouse (1)
Stock Options (Right to Buy)	01/02/2010	01/01/2018	Common Stock	5,000	\$ 23.37	I	Held by Spouse (1)
Stock Options (Right to Buy)	01/03/2012 ⁽²⁾	01/03/2021	Common Stock	4,343	\$ 19.19	I	Held by Spouse (1)
Stock Options (Right to Buy)	01/04/2011 ⁽³⁾	01/04/2020	Common Stock	4,333	\$ 19.56	I	Held by Spouse (1)
Stock Options (Right to Buy)	12/02/2010 ⁽⁴⁾	12/02/2019	Common Stock	4,333	\$ 17.82	I	Held by Spouse (1)
Stock Options (Right to Buy)	12/05/2008	12/04/2017	Common Stock	10,000	\$ 24.92	I	Held by Spouse (1)
Stock Options (Right to Buy)	12/06/2007	12/05/2016	Common Stock	9,000	\$ 21.89	I	Held by Spouse (1)
Stock Options (Right to Buy)	02/01/2009	01/31/2016	Common Stock	5,000	\$ 24.72	I	Held by Spouse (1)
Stock Options (Right to Buy)	02/01/2010	01/31/2017	Common Stock	4,500	\$ 20.86	I	Held by Spouse (1)
Stock Options (Right to Buy)	02/01/2011	01/31/2018	Common Stock	5,000	\$ 24.61	I	Held by Spouse (1)
Stock Options (Right to Buy)	02/01/2011 ⁽⁵⁾	02/01/2020	Common Stock	4,334	\$ 18.16	I	Held by Spouse (1)
Stock Options (Right to Buy)	02/01/2012 ⁽⁶⁾	02/01/2021	Common Stock	3,673	\$ 22.69	I	Held by Spouse (1)
Stock Options (Right to Buy)	03/01/2012 ⁽⁷⁾	03/01/2021	Common Stock	3,783	\$ 22.03	I	Held by Spouse (1)
Stock Options (Right to Buy)	03/28/2016	03/28/2023	Common Stock	8,038	\$ 13.33	I	Held by Spouse (1)
Stock Options (Right to Buy)	04/27/2007 ⁽⁸⁾	04/26/2016	Common Stock	500	\$ 28.2	I	Held by Spouse (1)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Ferrero Lisa ONE RIVERFRONT PLAZA CORNING, NY 14831	Â	Â	Â Senior Vice President & CAO	Â

Signatures

Linda E. Jolly, Power of
Attorney

01/06/2016

__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 Reporting Person disclaims beneficial ownership of all securities held by spouse.
- (2) The options vested in three installments beginning on January 3, 2012.
- (3) The options vested in three installments beginning on January 4, 2011.
- (4) The options vested in three installments beginning on December 2, 2010.
- (5) The options vested in three installments beginning on February 1, 2011.
- (6) The options vested in three installments beginning on February 1, 2012.
- (7) The options vested in three installments beginning on March 1, 2012.
- (8) The options vested in three installments beginning on April 27, 2007.

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

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