OSHKOSH CORP Form 3

October 07, 2015

FORM 3

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

OMB APPROVAL

OMB Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

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 *

À Cortina Ignacio A

C/O OSHKOSH

(Last)

(First)

(Street)

(Middle)

Statement

(Month/Day/Year)

10/01/2015

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

OSHKOSH CORP [OSK]

4. Relationship of Reporting Person(s) to Issuer

Filed(Month/Day/Year)

(Check all applicable)

10% Owner Director

_X__ Officer Other (give title below) (specify below) SVP, Gen. Counsel & Secretary 6. Individual or Joint/Group Filing(Check Applicable Line)

5. If Amendment, Date Original

X Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

OSHKOSH, Â WIÂ 54902

CORPORATION, Â 2307 OREGON STREET

> (City) (State) (Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security

(Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership Form:

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Direct (D) or Indirect (I)

(Instr. 5)

Common Stock

5,796.865

Â D

Reminder: Report on a separate line for each class of securities beneficially

owned directly or indirectly.

SEC 1473 (7-02)

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.

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)

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

4. Conversion or Exercise

6. Nature of Indirect 5. Beneficial Ownership Form of Ownership

Derivative (Instr. 5)

Price of Derivative Security:

Edgar Filing: OSHKOSH CORP - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Options (1)	(2)	10/17/2017	Common Stock	4,000	\$ 54.63	D	Â
Options (1)	(3)	09/14/2016	Common Stock	10,000	\$ 32.1	D	Â
Options (1)	(4)	09/17/2019	Common Stock	5,000	\$ 28.96	D	Â
Options (1)	(5)	09/16/2020	Common Stock	2,600	\$ 47.33	D	Â
Options (1)	(6)	09/15/2021	Common Stock	4,525	\$ 46.94	D	Â
Stock Appreciation Right (7)	(8)	09/19/2018	Common Stock	10,000	\$ 19.24	D	Â
Restricted Stock Unit Award (9)	(10)	09/16/2016	Common Stock	787.148	\$ 0	D	Â
Restricted Stock Unit Award (9)	(11)	09/15/2017	Common Stock	1,657.876	\$ 0	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships					
•	Director	10% Owner	Officer	Other		
Cortina Ignacio A						
C/O OSHKOSH CORPORATION	â	â	SVP, Gen. Counsel & Secretary	â		
2307 OREGON STREET	А	А	A SVP, Gen. Counsel & Secretary	A		
OSHKOSH, WI 54902						

Signatures

Ignacio A.
Cortina

**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) Option (right to buy) granted pursuant to the Company's Stock Plan.
- (2) Options vest in one-third (1/3) annual increments commencing on 09/17/2008.
- (3) Options vest in one-third (1/3) annual increments commencing on 09/14/2010.
- (4) Options vest in one-third (1/3) annual increments commencing on 9/17/2013.
- (5) Options vest in one-third (1/3) annual increments commencing on 9/16/2014.

Reporting Owners 2

Edgar Filing: OSHKOSH CORP - Form 3

- (6) Options vest in one-third (1/3) annual increments commencing on 9/15/2015.
- (7) Stock Appreciation Rights Award granted pursuant to the Company's Stock Plan.
- (8) Stock Appreciation Rights Award vests in one-third (1/3) annual increments commencing on 9/19/2012.
- (9) Each Restricted Stock Unit represents a contingent right to receive one share of OSK common stock.
- (10) Restricted Stock Unit Award vests in one-third (1/3) annual increments commencing on 9/16/2014.
- (11) Restricted Stock Unit Award vests in one-third (1/3) annual increments commencing on 9/15/2015.

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.