

II-VI INC

Form 3

November 17, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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 BARBAROSSA GIOVANNI

(Last) (First) (Middle)

12430 CURRY CT

(Street)

SARATOGA,Â CAÂ 95070

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

11/07/2014

3. Issuer Name and Ticker or Trading Symbol
II-VI INC [IIVI]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

____ Director ____ 10% Owner
☒ Officer ____ Other
 (give title below) (specify below)
 Chief Technology Officer

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

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 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

2,000 ⁽¹⁾

D Â

Common Stock

3,500 ⁽²⁾

D Â

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 Price of Derivative

5. Ownership Form of Derivative Security:

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

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Option (Right to buy)	Â <u>(3)</u>	08/16/2024	Common Stock	30,530	\$ 13.99	D	Â
Option (Right to buy)	Â <u>(4)</u>	08/17/2023	Common Stock	13,010	\$ 19.37	D	Â
Option (Right to buy)	Â <u>(5)</u>	11/02/2022	Common Stock	7,000	\$ 16.45	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BARBAROSSA GIOVANNI 12430 CURRY CT SARATOGA,Â CAÂ 95070	Â	Â	Â Chief Technology Officer	Â

Signatures

/s/ Michelle L. Freehling,
Attorney-in-Fact

11/17/2014

 **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) Restricted stock award granted to reporting person under the Issuer's 2012 Omnibus Incentive Plan. The award will vest in full three years from the grant date of June 20, 2014.
- (2) Restricted stock award granted to reporting person under the Issuer's 2012 Omnibus Incentive Plan. The award will vest in full three years from the grant date of November 2, 2012.
- (3) The option vests in 5 equal installments beginning on August 16, 2015.
- (4) The option vests in 5 equal installments beginning on August 17, 2014.
- (5) The option vests in 5 equal installments beginning November 2, 2013.

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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