#### COLUMBIA SPORTSWEAR CO

Form 3 July 07, 2017

### 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 \*

Swanson Jim A

C/O COLUMBIA

**SPORTSWEAR** 

(Last)

(First)

(Middle)

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

Statement

(Month/Day/Year)

07/01/2017

COLUMBIA SPORTSWEAR CO [COLM]

4. Relationship of Reporting Person(s) to Issuer

Filed(Month/Day/Year)

5. If Amendment, Date Original

(Check all applicable)

Director \_X\_\_ Officer

10% Owner Other (give title below) (specify below) SVP & CFO

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

PORTLAND, ORÂ 97229

COMPANY. 14375 NW

SCIENCE PARK DRIVE

(City) (State)

(Street)

1. Title of Security (Instr. 4)

(Zip)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Form: Direct (D) or Indirect

(I) (Instr. 5)

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)

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

4. Conversion or Exercise Price of

5. Ownership Form of Derivative Security:

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

Derivative

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (right to buy)	02/28/2015(1)	02/28/2024	Common Stock	494	\$ 41.545	D	Â
Employee Stock Option (right to buy)	02/27/2016(2)	02/26/2025	Common Stock	3,548	\$ 55.89	D	Â
Employee Stock Option (right to buy)	01/28/2017(3)	01/27/2026	Common Stock	3,651	\$ 53.35	D	Â
Employee Stock Option (right to buy)	01/26/2018(4)	01/25/2027	Common Stock	3,907	\$ 55.53	D	Â
Restricted Stock Units	03/01/2015(5)	(6)	Common Stock	110	\$ <u>(7)</u>	D	Â
Restricted Stock Units	03/01/2016(8)	(6)	Common Stock	410	\$ <u>(7)</u>	D	Â
Restricted Stock Units	02/01/2017(9)	(6)	Common Stock	666	\$ <u>(7)</u>	D	Â
Restricted Stock Units	02/01/2018(10)	(6)	Common Stock	949	\$ <u>(7)</u>	D	Â

### **Reporting Owners**

Reporting Owner Name / Address	Relationships				
. 6	Director	10% Owner	Officer	Other	
Swanson Jim A					
C/O COLUMBIA SPORTSWEAR COMPANY	â	Â	SVP & CFO	â	
14375 NW SCIENCE PARK DRIVE	A	А	A SVI & CIO	A	
PORTLAND, OR 97229					

# **Signatures**

Jim A. Swanson	07/07/2017		
**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) On 2/28/14 the reporting person was granted 1,980 stock options. The option grant vests over 4 years with 25% becoming exercisable on each anniversary of the grant date.
- On 2/27/15 the reporting person was granted 3,548 stock options. The option grant vests over 4 years with 25% becoming exercisable on each anniversary of the grant date.
- (3) On 1/28/16 the reporting person was granted 3,651 stock options. The option grant vests over 4 years with 25% becoming exercisable on each anniversary of the grant date.

**(4)** 

Reporting Owners 2

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On 1/26/17 the reporting person was granted 3,907 stock options. The option grant vests over 4 years with 25% becoming exercisable on each anniversary of the grant date.

On 2/28/14 the reporting person was granted 446 restricted stock units, 25% of the restricted stock units vest annually (a) on the first anniverary of the first day of the first full calendar month following the award date (the "Vest Date"), and (b) on each of the three subsequent anniversaries following the first anniversary of the Vest Date. Vested shares will be delivered to the reporting person on the designated vest dates. If a vesting date falls on a weekend or any other day on which the Nasdaq Stock Market ("NSM") or any national securities exchange on which the Common Stock then is principally traded (the "Exchange") is not open, affected RSUs shall vest on the next following NSM or Exchange business day, as the case may be.

- (6) N/A
- (7) Each restricted stock unit represents a right to receive one share of COLM common stock.
  - On 2/27/15 the reporting person was granted 822 restricted stock units, 25% of the restricted stock units vest annually (a) on the first anniverary of the first day of the first full calendar month following the award date (the "Vest Date"), and (b) on each of the three subsequent anniversaries following the first anniversary of the Vest Date. Vested shares will be delivered to the reporting person on the designated vest dates. If a vesting date falls on a weekend or any other day on which the Nasdaq Stock Market ("NSM") or any national securities exchange on which the Common Stock then is principally traded (the "Exchange") is not open, affected RSUs shall vest on the next following NSM or Exchange business day, as the case may be.
- On 1/28/16 the reporting person was granted 888 restricted stock units, 25% of the restricted stock units vest annually (a) on the first anniverary of the first day of the first full calendar month following the award date (the "Vest Date"), and (b) on each of the three subsequent anniversaries following the first anniversary of the Vest Date. Vested shares will be delivered to the reporting person on the designated vest dates. If a vesting date falls on a weekend or any other day on which the Nasdaq Stock Market ("NSM") or any national securities exchange on which the Common Stock then is principally traded (the "Exchange") is not open, affected RSUs shall vest on the next following NSM or Exchange business day, as the case may be.
- On 1/26/17 the reporting person was granted 949 restricted stock units, 25% of the restricted stock units vest annually (a) on the first anniverary of the first day of the first full calendar month following the award date (the "Vest Date"), and (b) on each of the three subsequent anniversaries following the first anniversary of the Vest Date. Vested shares will be delivered to the reporting person on the designated vest dates. If a vesting date falls on a weekend or any other day on which the Nasdaq Stock Market ("NSM") or any national securities exchange on which the Common Stock then is principally traded (the "Exchange") is not open, affected RSUs shall vest on the next following NSM or Exchange business day, as the case may be.

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.