SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Estimated average burden hours per response: 0.5

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

1. Name and Addi Leroux Lilia	2. Date of Event Requiring Stater Month/Day/Yea	ment	3. Issuer Name and Ticker or Trading Symbol WESTINGHOUSE AIR BRAKE TECHNOLOGIES CORP [WAB]								
(Last) 30 ISABELLA	(First) (Middle)				4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner			(5. If Amendment, Date of Original Filed (Month/Day/Year)		
					Х	Officer (give title below)	Other (spe below)		6. Individual or Joint/Group Filing (Check Applicable Line)		
(Street)						President, Trans	it Group		X Form filed by One Reporting Person		
PITTSBURGH PA 15212										Form filed by Reporting P	y More than One erson
(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. Ownersh Form: Dire or Indirect (Instr. 5)	cṫ (D) (lı	4. Nature of Indirect Beneficial Ownership (Instr. 5)		
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 Securi Underlying Derivative Securit			or Exerc	Conversion or Exercise	5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
		Date Exercisable	Expiratior Date	n Title		Amount or Number of Shares	Price of Derivativ Security		Direct (D) or Indirect (I) (Instr. 5)		
Phantom Stock			03/01/2021 ⁽¹⁾	03/01/2021		Common Stock	1,100	(2)		D	
Phantom Stock		03/01/2022 ⁽³⁾	03/01/2022		Common Stock	2,250	(2)		D		
Phantom Stock		12/31/2021 ⁽⁴⁾	12/31/2021		Common Stock	2,500	(2)		D		

Explanation of Responses:

1. Shares of Phantom Stock vest at a rate of 50% per year beginning March 1, 2020.

2. Each share of phantom stock is the economic equivalent of one share of Westinghouse Air Brake Technologies Corporation's common stock.

3. Shares of Phantom Stock vest at 33.33% per year beginning March 1, 2020.

4. Shares of Phantom Stock vest 50% on December 31, 2019, 25% on December 31, 2020, and 25% on December 31, 2021.

Remarks:

David L. DeNinno, POA for Lilian Leroux

03/22/2019

Date

** Signature of Reporting Person

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 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).

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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OMB APPROVAL 3235-0104 OMB Number: