FORM 4

## **UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

| OMB APPROVAL        |           |  |  |  |  |  |  |  |  |  |
|---------------------|-----------|--|--|--|--|--|--|--|--|--|
| OMB Number:         | 3235-0287 |  |  |  |  |  |  |  |  |  |
| Estimated average b | ourden    |  |  |  |  |  |  |  |  |  |
| hours per response: | 0.5       |  |  |  |  |  |  |  |  |  |

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b)

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

|  |  |                                      |   |                  | UI UI                                      | Secu  | 011 301                                 | ווו טו נוו | e iii | vesuriei   | it Coi | npany Act   | 01 19   | 940           |  |   |   |               |  |  |  |  |
|--|--|--------------------------------------|---|------------------|--|---|---|------------|-------|--|--------|---|---|---------------|--|---|---|---------------|--|--|--|--|
| Name and Address of Reporting Person*  |  |                                      |   |                  |  | 2. Issuer Name <b>and</b> Ticker or Trading Symbol WESTINGHOUSE AIR BRAKE |   |            |       |  |        |   |   |               |  | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) |   |               |  |  |  |  |
| <u>Jain Na</u>   | <u>IIII1</u>   |                                      |   |                  |  | TECHNOLOGIES CORP [ WAB ]   |   |            |       |  |        |   |   |               |  | Directo   | -   |               | 10% Ov   | ·  |  |  |
| (1 1)  | (F)  | A                                    | /A 4: -1 -11 - X                                  |                  | -  _                                       | TESTITION COLL [ MID]   |   |            |       |  |        |   |   |               |  | X Officer below)  | (give title   |               | Other (speci<br>below)   |  |  |  |
| (Last) (First) (Middle)  |  |                                      |   |                  |  | 3. Date of Earliest Transaction (Month/Day/Year)                          |   |            |       |  |        |   |   |               |  | President, Equipment Group  |   |               |  |  |  |  |
| 30 ISABELLA ST.  |  |                                      |   |                  |  | 03/01/2021  |   |            |       |  |        |   |   |               |  |   |   |               |  |  |  |  |
|  |  |                                      |   |                  |  | 4. If Amendment, Date of Original Filed (Month/Day/Year)                  |   |            |       |  |        |   |   |               |  | 6. Individual or Joint/Group Filing (Check Applicable                   |   |               |  |  |  |  |
| (Street) PITTSBURGH PA 15212   |  |                                      |   |                  |  |   |   |            |       |  |        |   |   |               |  |   | X Form filed by One Reporting Person  |               |  |  |  |  |
| PITION   | JKGH PA  | 1                                    | 15212   |                  |  | l l   |   |            |       |  |        |   |   |               |  |   | iled by More than One Reporting   |               |  |  |  |  |
| (City) (State) (Zip)   |  |                                      |   |                  |  |   |   |            |       |  |        |   |   | Person        |  |   |   |               |  |  |  |  |
| (City)   |  |                                      |   |                  |  |   |   |            |       |  |        |   |   |               |  |   |   |               |  |  |  |  |
|  |  | Tab                                  | le I - Noi  | n-Deriv          | vativ                                      | e Se  | curit                                   | ies A      | cqı   | uired,   | Dis    | posed o   | f, o  | r Ben         | eficial                                | y Owned   |   |               |  |  |  |  |
|  |  |                                      |   | Date             | 2. Transaction<br>Date<br>(Month/Day/Year) |   | 2A. Deemed<br>Execution Date,<br>if any |            | e,    |  |        | 4. Securities Acquired (A) Disposed Of (D) (Instr. 3, |   |               |  | 5. Amou<br>Securitie<br>Benefici  | es  | Form          | n: Direct  | 7. Nature<br>of Indirect<br>Beneficial                             |  |  |
|  |  |                                      |   | (WOIIIII/Day/Tea |  |   | (Month/Day/Year)                        |            | ear)  | Code (Instr.<br>8)                                     |        | 5)  |   |               |  |   | ed Following  |               | str. 4)  | Ownership<br>(Instr. 4)  |  |  |
|  |  |                                      |   |                  |  |   |   |            |       | Code   | v      | Amount  |   | (A) or<br>(D) | Price                                  | Transact<br>(Instr. 3   | ion(s)  |               |  | (111501.4)   |  |  |
| Common Stock - Direct 03   |  |                                      |   |                  | 1/2021                                     |   |   |            |       | F  |        | 299(1)  |   | D             | \$74.1                                 | 5 5,  | ,147  |               | D  |  |  |  |
| Common Stock - Direct  |  |                                      |   | 03/03            | 03/01/2021                                 |   |   |            |       | M  |        | 1,667   |   | A             | (2)                                    | 6,  | 6,814   |               | D  |  |  |  |
| Common Stock - Direct 03/  |  |                                      |   | 03/03            | 1/2021                                     |   |   |            |       | D  |        | 1,667   |   | D             | \$74.1                                 | 5 5,  | 5,147   |               | D  |  |  |  |
| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) |  |                                      |   |                  |  |   |   |            |       |  |        |   |   |               |  |   |   |               |  |  |  |  |
|  |  |                                      | 1   |                  |  | Can   | Ť                                       |            | ·     |  |        |   |   |               | ities)                                 |   |   |               |  |  |  |  |
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)  | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution I<br>if any<br>(Month/Day | Date,            | 4.<br>Transa<br>Code (<br>8)               |   | n of E                                  |            | Ex    | 5. Date Exercisal<br>Expiration Date<br>Month/Day/Year |        |   | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative Sec<br>(Instr. 3 and 4) |               |  | 8. Price of<br>Derivative<br>Security<br>(Instr. 5)                     | 9. Numbe<br>derivative<br>Securities<br>Beneficial<br>Owned<br>Following<br>Reported<br>Transacti<br>(Instr. 4) | e<br>s<br>lly | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |  |
|  |  |                                      |   |                  | Code                                       | v   | (A)                                     | (D)        | Dar   | te<br>ercisable  |        | Expiration<br>Date                                    | Title   |               | Amount<br>or<br>Number<br>of<br>Shares |   |   |               |  |  |  |  |
| Phantom  | (2)  | 03/01/2021                           |   |                  | М  |   |   | 1,667      | 03/   | /01/2022   | (3)    | 03/01/2022  | Con   | mmon          | 1.667                                  | \$0.00  | 666   |               | D  |  |  |  |

## **Explanation of Responses:**

- 1. The amount of securities withheld by the Company to discharge withholding tax obligations of the reporting person in connection with the vesting of restricted shares.
- 2. Each share of phantom stock is the economic equivalent of one share of Westinghouse Air Brake Technologies Corporation's common stock. The transactions reported in this Form 4 relate to the settlement of 1,667 shares of phantom stock in cash upon vesting on March 1, 2021.
- 3. 666 remaining shares of phantom stock vest on March 1, 2022.

## Remarks:

David L. DeNinno, POA for Nalin Jain

03/02/2021

\*\* Signature of Reporting Person

Date

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 4 (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.

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 Number.