

HELLMANN JOHN C
Form 4
May 25, 2012

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden 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).

STATEMENT OF CHANGES IN 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 *
HELLMANN JOHN C

2. Issuer Name and Ticker or Trading Symbol
GENESEE & WYOMING INC
[GWR]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
66 FIELD POINT ROAD
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
05/23/2012

Director 10% Owner
 Officer (give title below) Other (specify below)
Chief Exec. Officer & Pres.

GREENWICH, CT 06830

4. 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

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount or Price | | |
| Class A Common Stock, \$.01 par value | 05/23/2012 | | A | | 13,891 A \$ 32.35 | 301,801 | D |
| Class A Common Stock, \$.01 par value | 05/23/2012 | | S ⁽¹⁾ | | 10,800 D \$ 51.06 (2) (3) | 291,001 | D |
| Class A Common Stock, \$.01 par value | 05/24/2012 | | A | | 45,879 A \$ 32.35 | 336,880 | D |

Edgar Filing: HELLMANN JOHN C - Form 4

| | | | | | | | |
|--|------------|------------------|--------|---|-------------------------------|------------------|---|
| Class A Common Stock, \$.01 par value | 05/24/2012 | S ⁽¹⁾ | 31,191 | D | \$ 51.53 <u>(2) (4)</u> | 305,689 | D |
| Class A Common Stock, \$.01 par value | 05/24/2012 | S ⁽¹⁾ | 6,200 | D | \$ 52.17 <u>(2) (5)</u> | 299,489 | D |
| Class B Common Stock, \$.01 par value | | | | | | 1,872 <u>(6)</u> | D |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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.

SEC 1474
(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Amount or Number of Shares | |
|---|--|---|---|--------------------------------------|--|--|---|---|--------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | |
| Stock Option (Right to Buy) | \$ 32.35 | 05/23/2012 | | M | 13,891 | <u>(7)</u> | 05/29/2012 | Class A Common Stock, \$.01 par value | 13,891 |
| Stock Option (Right to Buy) | \$ 32.35 | 05/24/2012 | | M | 45,879 | <u>(7)</u> | 05/29/2012 | Class A Common Stock, \$.01 par value | 45,879 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Edgar Filing: HELLMANN JOHN C - Form 4

Director 10% Owner Officer Other

HELLMANN JOHN C
66 FIELD POINT ROAD
GREENWICH, CT 06830

X

Chief Exec. Officer & Pres.

Signatures

Allison M. Fergus, Attorney in Fact for John C.
Hellmann

05/25/2012

__Signature of Reporting Person

Date

Explanation of Responses:

- * 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).
- (1) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on March 1, 2012.
The Reporting Person undertakes to provide upon request by the Securities and Exchange Commission staff, the Issuer or a security holder of the Issuer, full information regarding the number of shares sold at each separate price for all transactions reported on this Form 4.
- (2) Represents the weighted average sales price increments ranging from \$50.53 to \$51.51.
- (3) Represents the weighted average sales price increments ranging from \$51.02 to \$52.02.
- (4) Represents the weighted average sales price increments ranging from \$52.03 to \$52.44.
- (5) This Class B Common Stock is not registered pursuant to Section 12 of the Act. However, each share of Class B Common Stock is convertible into one share of Class A Common Stock.
- (6) This option award was granted under the Genesee & Wyoming Inc. Second Amended and Restated 2004 Omnibus Incentive Plan and vested in three equal annual installments, beginning May 30, 2008.
- (7)

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.