SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

OMB APPROVAL 3235-0287 OMB Number: Estimated average burden hours per response: 0.5

| 1. Name and Address of Reporting Person* <u>GOLDBERG ERIC MICHAEL</u> | | | 2. Issuer Name and Ticker or Trading Symbol CECO ENVIRONMENTAL CORP [CECE] | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | |
|--|---------|------------------|--|--|---|-----------------------|--|--|
| | | | | X | Director | 10% Owner | | |
| (Last) 101 FREEPORT | (First) | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year) 05/15/2013 | | Officer (give title below) | Other (specify below) | | |
| | | | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Indi Line) | vidual or Joint/Group Fili | ng (Check Applicable | | |
| (Street) PITTSBURGH | PA | 15215 | | | Form filed by One Reporting Person | | | |
| | | | _ | | Form filed by More than One Reporting Person | | | |
| (City) | (State) | (Zip) | | | | | | |
| | | Table I - Non-De | rivative Securities Acquired, Disposed of, or Benefi | cially | Owned | | | |

4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) 6. Ownership 1. Title of Security (Instr. 3) 2. Transaction 2A. Deemed 5. Amount of 7. Nature 3 Form: Direct (D) or Indirect of Indirect Beneficial Execution Date, Transaction Securities Beneficially Dat (Month/Day/Year) Code (Instr. if any (Month/Day/Year) 8) **Owned Following** (I) (Instr. 4) Ownership Reported (Instr. 4) (A) or (D) Transaction(s) Code v Amount Price (Instr. 3 and 4)

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

| (org), parto, cano, marranto, opriorio, convertible cocartico, | | | | | | | | | | | | | | | |
|--|---|--|---|---|---|---|-----|--|--------------------|--|--|---|--|--|--|
| 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 Securities Underlying Derivative Security (Instr. 3 and 4) | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |
| Stock Option (right to buy) | \$12.56 | 05/15/2013 | | A | | 7,500 | | 05/15/2014 ⁽¹⁾ | 05/15/2023 | Common Stock | 7,500 | (2) | 7,500 | D | |

Explanation of Responses:

1. The options vest in three equal annual installments on the anniversary date of the grant, commencing May 15, 2014.

2. Not applicable.

Remarks:

/s/ Kathryn A. Erickson as Attorney-in-Fact for Eric M.

05/16/2013

Goldberg

** Signature of Reporting Person Date

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

 \ast 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.