

GENESEE & WYOMING INC
Form 4
August 07, 2013

FORM 4

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

OMB APPROVAL

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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 *
Gallagher Timothy J

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)
20 WEST AVENUE
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
08/06/2013

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
Chief Financial Officer

DARIEN, CT 06820

(City) (State) (Zip)

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

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 | 08/06/2013 | | M | | 16,132 A \$ 20.89 | 79,629 | D |
| Class A Common Stock, \$.01 par value | 08/06/2013 | | M | | 11,541 A \$ 28.92 | 91,170 | D |
| Class A Common Stock, \$.01 par value | 08/06/2013 | | S | | 12,400 D \$ 86.49 (1) (2) | 78,770 | D |

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| | | | | | | | | |
|--|------------|--|---|--------|---|-------------------------------|--------|---|
| Class A Common Stock, \$.01 par value | 08/06/2013 | | S | 13,680 | D | \$ 87.48 <u>(1) (3)</u> | 65,090 | D |
| Class A Common Stock, \$.01 par value | 08/06/2013 | | S | 1,593 | D | \$ 88.48 <u>(1) (4)</u> | 63,497 | D |

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

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(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) | \$ 20.89 | 08/06/2013 | | M | 16,132 | <u>(5)</u> | 02/26/2014 | Class A Common Stock, \$.01 par value | 16,132 |
| Stock Option (Right to Buy) | \$ 28.92 | 08/06/2013 | | M | 11,541 | <u>(6)</u> | 05/28/2014 | Class A Common Stock, \$.01 par value | 11,541 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Gallagher Timothy J 20 WEST AVENUE DARIEN, CT 06820 | | | Chief Financial Officer | |

Signatures

Allison M. Fergus, Attorney in Fact for Timothy J.
Gallagher

08/07/2013

__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).
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 in this Form 4.
 - (1) Represents the weighted average sales price for the price increments ranging from \$86.13 to \$87.12.
 - (2) Represents the weighted average sales price for the price increments ranging from \$87.14 to \$88.12.
 - (3) Represents the weighted average sales price for the price increments ranging from \$88.15 to \$88.79.
 - (4) This option award was granted under the Genesee & Wyoming Inc. Second Amended and Restated 2004 Omnibus Incentive Plan (the "Plan") and vested in three equal annual installments, beginning February 27, 2010.
 - (5) This option award was granted under the Plan and vested in three equal annual installments, beginning February 27, 2010.

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.