

GORDON ELLEN R
Form 4
March 06, 2013

FORM 4

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

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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
GORDON ELLEN R

2. Issuer Name **and** Ticker or Trading
Symbol

TOOTSIE ROLL INDUSTRIES INC
[TR]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction
(Month/Day/Year)
03/04/2013

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
President

C/O TOOTSIE ROLL
INDUSTRIES, INC., ATTN:
BARRY BOWEN 7401 S. CICERO
AVE.

(Street)

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

CHICAGO, IL 60629

(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	(A) or (D)	Price
Common stock					9,413,887	D	
Common stock	03/04/2013		J		199,212	D	<u>11</u> 5,305,669
Common stock	03/04/2013		J		199,212	A	<u>11</u> 1,143,888
Common					1,530,924	I	

By Trust for
ChildrenBy
Charitable
Foundation

By Spouse

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stock

Common stock	44,631	I	By Pension Plan
Common stock	73,422	I	By TRI Stock Trust

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

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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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Class B Common stock	\$ 27.56 (2)	03/04/2013		P		131,285		(2)	(2)	Common stock	(2)
Class B Common stock	\$ 27.56 (2)	03/04/2013		P		89,000		(2)	(2)	Common stock	(2)
Class B Common Stock	(1)	03/04/2013		J		199,212		(2)	(2)	Common Stock	(2)
Class B Common stock	\$ 27.56 (2)	03/04/2013		S		220,285		(2)	(2)	Common stock	(2)
Class B Common Stock	(1)	03/04/2013		J		199,212		(2)	(2)	Common Stock	(2)
Class B Common stock	(2)							(2)	(2)	Common stock	(2)
Class B Common stock	(2)							(2)	(2)	Common stock	(2)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
GORDON ELLEN R C/O TOOTSIE ROLL INDUSTRIES, INC. ATTN: BARRY BOWEN 7401 S. CICERO AVE. CHICAGO, IL 60629	X	X	President	

Signatures

Ellen R Gordon 03/06/2013

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).
- (1) Simultaneous exchange of Common stock for Class B Common stock
- (2) Class B Common stock is freely convertible into Common stock on a share-for-share basis

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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