### GENESEE & WYOMING INC

Form 4/A July 30, 2014

## FORM 4

#### OMB APPROVAL

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

OMB Number: 3235-0287

Check this box if no longer subject to Section 16. Form 4 or Expires: January 31, 2005

# STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Estimated average burden hours per response... 0.5

5. Relationship of Reporting Person(s) to

Form 5 obligations may continue.

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

2. Issuer Name and Ticker or Trading

See Instruction 30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

| HELLMANN JOHN C                                |  |                    | Symbol GENESEE & WYOMING INC [GWR]               |   |   |  |         | Issuer (Check all applicable)  |  |   |  |  |  |
|--|--|--------------------|--|---|---|--|---------|--|--|---|--|--|--|
| (Last)   | (First)  | (Middle)           | 3. Date of Earliest Transaction (Month/Day/Year) |   |   | X Director 10% Owner X Officer (give title Other (specify below) |         |  |  |   |  |  |  |
| 20 WEST A                                      | 05/30/2014   |                    |  |   |   | Chief Exec. Officer & Pres.                                      |         |  |  |   |  |  |  |
|  | (Street) 4. If Amendment, Date Orig<br>Filed(Month/Day/Year) |                    |  |   |   |  |         | 6. Individual or Joint/Group Filing(Check Applicable Line)   |  |   |  |  |  |
|  |  |                    |  | 06/03/2014                              |   |  |         | _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person                                |  |   |  |  |  |
| (City)   | (State)  | (Zip)              | Table  | e I - Non-D                             | erivative S                                       | Securi   | ties Ac | quired, Disposed   | of, or Beneficia   | lly Owned   |  |  |  |
| 1.Title of<br>Security<br>(Instr. 3)           | 2. Transaction D<br>(Month/Day/Yea                           | ar) Executi<br>any | emed<br>on Date, if<br>/Day/Year)                | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securi<br>onAcquirec<br>Disposec<br>(Instr. 3, | d (A) o  | ))      | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |  |  |
| Class A<br>Common<br>Stock, \$.01<br>par value | 05/30/2014   |                    |  | A                                       | 4,573<br>(1)                                      | A  | \$ 0    | 293,220  | D  |   |  |  |  |
| Class A<br>Common<br>Stock, \$.01<br>par value |  |                    |  |   |   |  |         | 55,555   | I  | By Trust  |  |  |  |

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 (9-02)

### Edgar Filing: GENESEE & WYOMING INC - Form 4/A

required to respond unless the form displays a currently valid OMB control number.

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number of orDerivative 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<br>Exercisable                                      | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of Shares |
| Stock<br>Option<br>(Right to<br>Buy)                | \$ 97.35  | 05/30/2014                              |   | A                                       | 22,631  | (3)  | 05/29/2019         | Class A<br>Common<br>Stock,<br>\$.01 par<br>value             | 22,631                              |
| Class B<br>Common<br>Stock,<br>\$.01 par<br>value   | <u>(4)</u>  |   |   |   |   | <u>(4)</u>   | <u>(4)</u>         | Class A<br>Common<br>Stock,<br>\$.01 par<br>value             | <u>(4)</u>                          |

## **Reporting Owners**

| Reporting Owner Name / Address    | Relationships |           |                             |       |  |  |  |
|-----------------------------------|---------------|-----------|-----------------------------|-------|--|--|--|
| 1                                 | Director      | 10% Owner | Officer                     | Other |  |  |  |
| HELLMANN JOHN C<br>20 WEST AVENUE | X             |           | Chief Exec. Officer & Pres. |       |  |  |  |
| DARIEN, CT 06820                  | 21            |           | emer Exec. Officer & Fres.  |       |  |  |  |

# **Signatures**

Allison M. Fergus, Attorney-in-Fact for John C.
Hellmann
07/30/2014

\*\*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) This restricted stock award was granted under the Genesee & Wyoming Inc. Second Amended and Restated 2004 Omnibus Incentive Plan (the "Plan") and will vest in three equal annual installments, beginning February 28, 2015.
- (2) Held by a trust of which Mr. Hellmann is investment trustee for the benefit of family members of Mr. Hellmann.

Reporting Owners 2

### Edgar Filing: GENESEE & WYOMING INC - Form 4/A

- (3) This option award was granted under the Plan and will vest in three equal annual installments, beginning February 28, 2015.
- (4) This Class B Common Stock is not registered pursuant to Section 12 of the Act. However, each share of Class B Common Stock is freely convertible into one share of Class A Common Stock.

### **Remarks:**

This Form 4A is being filed to amend the Form 4 filed for Mr. Hellmann on June 3, 2014, which failed to reflect the grant of to 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.