PGT, Inc. Form 4 August 12, 2013

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**OMB APPROVAL** 

**OMB** Number:

3235-0287

Expires:

January 31, 2005

0.5

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Check this box if no longer subject to Section 16. Form 4 or

**SECURITIES** Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940

1(b).

(Last)

(Print or Type Responses)

See Instruction

1. Name and Address of Reporting Person \* West Bradley R

> (First) (Middle)

C/O PGT, INC., 1070 **TECHNOLOGY DRIVE** 

(Street)

(Ctata)

2. Issuer Name and Ticker or Trading Symbol

PGT, Inc. [PGTI]

3. Date of Earliest Transaction

(Month/Day/Year) 08/08/2013

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner X\_ Officer (give title \_ Other (specify below)

Vice President

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

### NORTH VENICE, FL 34275

(City)	(State)	(Zip) Table	e I - Non-D	erivative S	Securi	ties Acqu	ired, Disposed of	, or Beneficiall	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactio Code (Instr. 8)	4. Securities Acquired n(A) or Disposed of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code V	Amount	or (D)	Price	Transaction(s) (Instr. 3 and 4)		
Common Stock, par value \$0.01 per share	08/08/2013		M	9,136	A	\$ 2	12,194	D	
Common Stock, par value \$0.01 per share	08/08/2013		F	3,750 (1)	D	\$ 10.39	8,444	D	
Common Stock, par value \$0.01 per share	08/08/2013		S	5,386	D	\$ 10.39	3,058	D	

Common Stock, par value \$0.01 per share	08/09/2013	M	60,864	A	\$ 2	63,922	D	
Common Stock, par value \$0.01 per share	08/09/2013	F	25,351 (2)	D	\$ 10.16	38,571	D	
Common Stock, par value \$0.01 per share	08/09/2013	S	35,513	D	\$ 10.16	3,058	I	IRA

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

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SEC 1474

(9-02)

 $\label{thm:convergence} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (e.g., puts, calls, warrants, options, convertible securities) \end{tabular}$ 

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. Transactic Code (Instr. 8)	TransactionDerivative Code Securities		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	
Stock Option (Right to Buy)	\$ 2	08/08/2013		M	70,000	(3)	04/06/2020	Common Stock	70,000	

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
West Bradley R							
C/O PGT, INC.			Wise Dussident				
1070 TECHNOLOGY DRIVE		Vice President					
NORTH VENICE, FL 34275							

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## **Signatures**

/s/ Bradley West 08/12/2013

\*\*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).
- Reflects 3,750 shares withheld at market price of \$10.39 per share less an exercise price of \$2.00 per share to fund the cashless (1) exercise of 9,136 options owned by Mr. West and the tax liability associated therewith. Such cashless exercise was in accordance with
- terms and provisions of the Company's Amended and Restated 2006 Equity Incentive Plan as approved by the Board of Directors

  Reflects 25,351 shares withheld at market price of \$10.16 per share less an exercise price of \$2.00 per share to fund the cashless
- exercise of 60,864 options owned by Mr. West and the tax liability associated therewith. Such cashless exercise was in accordance with terms and provisions of the Company's Amended and Restated 2006 Equity Incentive Plan as approved by the Board of Directors
- (3) An aggregate of 232,411 options exercisable in five approximately equal annual installments beginning on April 6, 2011.

#### **Remarks:**

The transactions reported in the above Table I reflect the cashless exercise of stock options. The cashless exercise of the option 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.

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