Great Lakes Dredge & Dock CORP Form 3 January 04, 2017

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

**OMB APPROVAL** 

**OMB** Number:

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INITIAL STATEMENT OF 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 \*

**Â** Petterson Lasse

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

12/27/2016

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Great Lakes Dredge & Dock CORP [GLDD]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O GREAT LAKES DREDGE & DOCK CORP, 2122 YORK ROAD, 2ND FL

(Street)

(State)

(Check all applicable)

(give title below) (specify below)

10% Owner \_X\_ Director Officer Other

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

#### OAK BROOK. ILÂ 60523

1. Title of Security (Instr. 4)

(City)

Table I - Non-Derivative Securities Beneficially Owned

2. Amount of Securities Beneficially Owned

(Instr. 4)

3.

Ownership

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Form: Direct (D) or Indirect (I)

(Instr. 5)

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

(Zip)

SEC 1473 (7-02)

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 control number.

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

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying **Derivative Security** 

5. 4 Conversion Ownership or Exercise Form of

6. Nature of Indirect Beneficial Ownership (Instr. 5)

(Instr. 4)

Date **Expiration Title** Exercisable Date

Amount or Number of

Price of Derivative Security Direct (D)

Derivative Security:

1

Shares

or Indirect (I) (Instr. 5)

## **Reporting Owners**

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Petterson Lasse

C/O GREAT LAKES DREDGE & DOCK CORP 2122 YORK ROAD, 2ND FL OAK BROOK. ILÂ 60523

ÂX Â Â Â

## **Signatures**

/s/ Kathleen M. LaVoy, by Power of Attorney

01/04/2017

\*\*Signature of Reporting Person

Date

# **Explanation of Responses:**

#### No securities are beneficially owned

- If the form is filed by more than one reporting person, see Instruction 5(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).

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#### **Remarks:**

No securities are beneficially owned.

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. ze="2">6. Date Exercisable and Expiration Date

(Month/Day/Year)7. Title and Amount of Underlying Securities

(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 of Derivative Security: Direct (D) or Indirect (I)

(Instr. 4)11. Nature of Indirect Beneficial Ownership

(Instr. 4)CodeV(A)(D)Date ExercisableExpiration DateTitleAmount or Number of Shares

## **Reporting Owners**

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

MOORE DARYL D

322 KEY WEST DRIVE **EVANSVILLE, IN 47712**  **EXECUTIVE VICE PRES AND CCO** 

**Signatures** 

JEFFREY L KNIGHT, EXECUTIVE VP AND CHIEF LEGAL COUNSEL, AS ATTORNEY-IN-FACT

01/29/2018

\*\*Signature of Reporting Person

Date

Reporting Owners 2

# **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) Shares held with a broker.
- (2) Includes 39,000 restricted stock units, 9,751 restricted stock shares and 43,805 shares of common stock. Fractional amounts have been rounded to the nearest whole number.

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