| SEC Form 4 |  |
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### FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| OMB APPROVAL          |       |  |  |  |  |  |  |  |  |
|-----------------------|-------|--|--|--|--|--|--|--|--|
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| Estimated average bu  | urden |  |  |  |  |  |  |  |  |
| hours per response:   | 0.5   |  |  |  |  |  |  |  |  |

| 1. Name and Addre              | 1 0              |                  | 2. Issuer Name and Ticker or Trading Symbol <u>ALCOA INC</u> [ AA ] |                        | ationship of Reporting Pe<br>( all applicable)<br>Director                            | erson(s) to Issuer<br>10% Owner       |
|--------------------------------|------------------|------------------|---|------------------------|---|---------------------------------------|
| (Last)<br>390 PARK AVE         | (First) (Middle) |                  | 3. Date of Earliest Transaction (Month/Day/Year)<br>10/04/2013      | X                      | Officer (give title<br>below)<br>Executive Vice                                       | Other (specify<br>below)<br>President |
| (Street)<br>NEW YORK<br>(City) | NY<br>(State)    | 10022<br>(Zip)   | 4. If Amendment, Date of Original Filed (Month/Day/Year)            | 6. Indiv<br>Line)<br>X | vidual or Joint/Group Fili<br>Form filed by One Re<br>Form filed by More th<br>Person | porting Person                        |
|                                |                  | Table I - Non-De | rivative Securities Acquired. Disposed of, or Bene                  | ficially               | Owned   |                                       |

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | Execution Date, |      | e, Transaction<br>Code (Instr. |        | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 and<br>5) |       |   | (D) or Indirect | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership |
|---------------------------------|--|-----------------|------|--------------------------------|--------|---|-------|---|-----------------|---|
|                                 |  | (,              | Code | v                              | Amount | (A) or<br>(D)   | Price | Owned Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | () (            | (Instr. 4)  |

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

|   | (org), puto, validatio, optiono, contention coounties,                |  |   |                              |   |           |     |  |                    |  |  |                                      |  |  |  |
|---|---|--|---|------------------------------|---|-----------|-----|--|--------------------|--|--|--------------------------------------|--|--|--|
| 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<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | of Expira |     | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative Security<br>(Instr. 3 and 4) |  | Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|   |   |  |   | Code                         | v | (A)       | (D) | Date<br>Exercisable  | Expiration<br>Date | Title  | Amount<br>or<br>Number<br>of<br>Shares |                                      |  |  |  |
| Phantom<br>Stock<br>Units                           | (1)   | 10/04/2013                                 |   | A                            |   | 260       |     | (2)  | (2)                | Common<br>Stock  | 260                                    | \$7.975                              | 924  | D  |  |

Explanation of Responses:

1. 1 For 1

2. Phantom stock units were acquired under the Alcoa Deferred Compensation Plan and are to be paid out in cash after termination of employment. The reporting person may transfer the phantom stock into an alternative investment account under the Plan at times permitted under the Plan.

#### Remarks:

#### Brenda Hart (Assistant Secretary), by power of attorney

of <u>10/07/2013</u>

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\*\* Signature of Reporting Person Date

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

 $\star$  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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.