ASTEC INDUSTRIES INC

Form 4 July 09, 2014

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB APPROVAL OMB

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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 30(h) of the Investment Company Act of 1940

See Instruction

(Middle)

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person * Cumming Lawrence R

2. Issuer Name and Ticker or Trading Symbol

ASTEC INDUSTRIES INC [ASTE]

5. Relationship of Reporting Person(s) to

Issuer

(First)

(Street)

(Check all applicable)

3417 LAKESIDE DR

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

05/29/2014

Director 10% Owner X_ Officer (give title Other (specify

below) President-Peterson Pacific

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year) Applicable Line)

(A)

X Form filed by One Reporting Person Form filed by More than One Reporting

Person

EUGENE, OR 97401

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial (I) Ownership (Instr. 4) (Instr. 4)

Reported Transaction(s)

Code V Amount (D) Price

(Instr. 3 and 4)

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

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number of	6. Date Exercisable and	7. Title and Amount of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	orDerivative	Expiration Date	Underlying Securities
Security	or Exercise		anv	Code	Securities	(Month/Day/Year)	(Instr. 3 and 4)

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(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	(Instr. 8)	Acquired (A) Disposed of (Instr. 3, 4, a)	(D)			
				Code V	(A)	(D) Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Phantom Stock (2)	(2)	05/29/2014		A	7.3502	(2)	(2)	Common Stock	7.3502
Phantom Stock	<u>(1)</u>	07/08/2014		A	100.4699 (1)	<u>(1)</u>	<u>(1)</u>	Common Stock	100.4699

Reporting Owners

Reporting Owner Name / Address

Director 10% Owner Officer Other

Cumming Lawrence R 3417 LAKESIDE DR EUGENE, OR 97401

President-Peterson Pacific

Signatures

Robert Taylor, attorney in fact for Lawrence R. Cumming

07/09/2014

**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) Reported transaction represents the Company's quarterly contribution to reporting person's SERP account that was used to acquire Astec stock. Phantom shares are held in a SERP and are payable in cash following the reporting person's termination of employment with Astec.
- Transaction represents the automatic reinvestment of a cash dividend on phantom stock held in the reporting person's SERP account as approved by the Company's Board of Directors. Phantom shares are held in a SERP and are payable in cash following the reporting person's termination of employment from Astec.

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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