

LAIN TIMOTHY
Form 4
May 08, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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STATEMENT OF CHANGES IN 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 *
LAIN TIMOTHY

2. Issuer Name and Ticker or Trading Symbol
CARPENTER TECHNOLOGY CORP [CRS]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

____ Director
 Officer (give title below)
____ 10% Owner
____ Other (specify below)
VP-Controller, Chf Acctg Ofcr

C/O CARPENTER TECHNOLOGY CORPORATION, 1735 MARKET STREET, 15TH FL

05/04/2018

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
____ Form filed by More than One Reporting Person

PHILADELPHIA, PA 19103

(City) (State) (Zip)

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

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount or Price | | |
| Common Stock | 05/04/2018 | | M | | 300 A \$ 43.65 | D | |
| Common Stock | 05/04/2018 | | M | | 300 A \$ 17.29 | D | |
| Common Stock | 05/04/2018 | | M | | 407 A \$ 33.85 | D | |
| Common Stock | 05/04/2018 | | S | | 1,007 D \$ 54.9967 | D | |
| | | | | | <u>(1)</u> | | |
| | | | | | | <u>(2)</u> | |
| | | | | | | 10,992.749 | |

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Common
Stock

2,061.014 ⁽³⁾ I

By 401(k)
Plan

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

SEC 1474
(9-02)

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

| 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. Transaction Code (Instr. 8) | 5. Number of Derivative 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) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Employee Stock Option | \$ 43.65 | 05/04/2018 | | M | 100 | 06/30/2009 06/30/2018 | Common Stock | 100 |
| Employee Stock Option | \$ 43.65 | 05/04/2018 | | M | 100 | 06/30/2010 06/30/2018 | Common Stock | 100 |
| Employee Stock Option | \$ 43.65 | 05/04/2018 | | M | 100 | 06/30/2011 06/30/2018 | Common Stock | 100 |
| Employee Stock Option | \$ 17.29 | 05/04/2018 | | M | 100 | 07/29/2010 07/29/2019 | Common Stock | 100 |
| Employee Stock Option | \$ 17.29 | 05/04/2018 | | M | 100 | 07/29/2011 07/29/2019 | Common Stock | 100 |
| Employee Stock Option | \$ 17.29 | 05/04/2018 | | M | 100 | 07/29/2012 07/29/2019 | Common Stock | 100 |
| Employee Stock Option | \$ 33.85 | 05/04/2018 | | M | 136 | 08/17/2011 08/17/2020 | Common Stock | 136 |

