

AMERICAN AXLE &amp; MANUFACTURING HOLDINGS INC

Form 4

August 02, 2016

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

OMB APPROVAL

OMB Number: 3235-0287

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**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 \*  
Sofia John S

(Last) (First) (Middle)

ONE DAUCH DRIVE

(Street)

DETROIT, MI 48211-1198

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
AMERICAN AXLE &  
MANUFACTURING HOLDINGS  
INC [AXL]3. Date of Earliest Transaction  
(Month/Day/Year)  
08/01/20164. If Amendment, Date Original  
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify below)  
VP Global Program Management6. Individual or Joint/Group Filing(Check Applicable Line)  
☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting Person**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 Ownership (Instr. 4)
Common Stock	08/01/2016		S	1,200 D	\$ 17.52 17,421	I	Family Trust
Common Stock	08/01/2016		S	1,500 D	\$ 17.53 15,921	I	Family Trust
Common Stock	08/01/2016		S	1,600 D	\$ 17.54 14,321	I	Family Trust
Common Stock	08/01/2016		S	3,700 D	\$ 17.55 10,621	I	Family Trust
Common Stock	08/01/2016		S	4,700 D	\$ 17.56 5,921	I	Family Trust

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Common Stock	08/01/2016	S	1,600	D	\$ 17.57	4,321	I	Family Trust
Common Stock	08/01/2016	S	2,700	D	\$ 17.58	1,621	I	Family Trust
Common Stock	08/01/2016	S	500	D	\$ 17.59	1,121	I	Family Trust
Common Stock	08/01/2016	S	321	D	\$ 17.6	800	I	Family Trust
Common Stock	08/01/2016	S	100	D	\$ 17.61	700	I	Family Trust
Common Stock	08/01/2016	S	300	D	\$ 17.62	400	I	Family Trust
Common Stock	08/01/2016	S	400	D	\$ 17.63	0	I	Family Trust
Common Stock						13,043	D <sup>(1)</sup>	

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

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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. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

## Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other

Sofia John S  
ONE DAUCH DRIVE  
DETROIT, MI 48211-1198

VP Global Program Management

## Signatures

/s/ Laura L. Douglas, attorney  
in fact

08/02/2016

\_\_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) Excludes 6,326 shares that were previously held directly. These shares were transferred to a Family Trust and held indirectly.

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

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