

CARPENTER TECHNOLOGY CORP

Form 4

April 02, 2013

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
STEPHANS PETER N

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)

CARPENTER TECHNOLOGY
CORPORATION, PO BOX 14662

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
12/18/2012

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

READING, PA 19612-4662

(City) (State) (Zip)

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

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	(A) or (D)	Price			
Common Stock	12/18/2012		G	V	19,000	D	\$ 0	0	I	Grantor Retained Annuity Trust
Common Stock	12/18/2012		G	V	13,790	A	\$ 0 (1)	52,086	I	Held in Trust
Common Stock	12/18/2012		G	V	2,605	A	\$ 0 (2)	10,005	I	Spouse of Trustee
Common Stock	12/18/2012		G	V	2,605	A	\$ 0 (2)	10,005	I	Spouse of Trustee

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

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(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. Title and Amount of Underlying Securities (Instr. 3 and 4)
Director Stock Units	(3)	03/28/2013		A	228.241	(4) (4)	Common Stock	228.241

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

STEPHANS PETER N
CARPENTER TECHNOLOGY CORPORATION
PO BOX 14662
READING, PA 19612-4662

X

Signatures

James D.
Dee/POA 04/02/2013

__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) These shares are transferred from the Peter N. Stephans grantor retained annuity trust, created on December 18, 2009, PNC Bank, N.A., Trustee.

These shares are transferred from the Peter N. Stephans grantor retained annuity trust, created on December 18, 2009, PNC Bank, N.A., Trustee, to the Irrevocable Deed of Trust of Peter C. Rossin and Ada E. Rossin, dated July 12, 1989, Ada E. Rossin and Joan Elizabeth

(2) Rossin Stephans, Trustees, for the benefit of the reporting person's children. The reporting person disclaims beneficial ownership of these securities, and the filing of this report is not an admission that the reporting person is the beneficial owner of these securities for purposes of Section 16, or for any other purpose.

(3) Converts to common stock on a 1-for-1 basis

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- (4) Payable upon the later of separation of service or a specified date or event
- (5) Includes dividend equivalents

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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