

LAIN TIMOTHY
Form 4
May 08, 2018

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 *
LAIN TIMOTHY

(Last) (First) (Middle)

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

(Street)

PHILADELPHIA, PA 19103

(City) (State) (Zip)

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

3. Date of Earliest Transaction
(Month/Day/Year)
05/04/2018

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
X 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	05/04/2018		M		300	A	\$ 43.65	11,288	D
Common Stock	05/04/2018		M		300	A	\$ 17.29	11,588	D
Common Stock	05/04/2018		M		407	A	\$ 33.85	11,995	D
Common Stock	05/04/2018		S		1,007	D	\$ 54.9967 (1)	10,992.749 (2)	D

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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.

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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. D S (I		
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	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

Employee Stock Option	\$ 33.85	05/04/2018	M	136	08/17/2012	08/17/2020	Common Stock	136
Employee Stock Option	\$ 33.85	05/04/2018	M	135	08/17/2013	08/17/2020	Common Stock	135

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
LAIN TIMOTHY C/O CARPENTER TECHNOLOGY CORPORATION 1735 MARKET STREET, 15TH FL PHILADELPHIA, PA 19103			VP-Controller, Chf Acctg Ofcr	

Signatures

James D.
Dee/POA

05/08/2018

__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) The price reported is an average of the total transactions executed for the day, with the individual transactions ranging from a low of \$54.98 per share to a high of \$55.02 per share.
- (2) Includes shares acquired under the Carpenter Technology Corporation Dividend Reinvestment Program.
- (3) Includes shares acquired under the Savings Plan of Carpenter Technology Corporation. The share balance under the Savings Plan of Carpenter Technology fluctuates due to rounding differences produced by the Plan's method of estimating shares.
- (4) The reporting person was granted an option to buy shares of common stock under the Carpenter Technology Corporation Stock-Based Compensation Plan for Officers and Key Employees.

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.