Edgar Filing: LAIN TIMOTHY - Form 4

| LAIN TIMO Form 4 May 08, 20 | | | | | | | | | | |
|---|---|---------------------------|---|---------------------------------------|-----------|--|---------------|--|---|--------------|
| FORM | | | | | | | | | OMB AF | PROVAL |
| | UNITED | STATES | | | | | | OMMISSION | OMB Number: | 3235-0287 |
| Check th if no lon subject to Section Form 4 Form 5 obligation may cor | nger to 16. or Dins ttinue. Section 17(| suant to S a) of the F | Washington, D.C. 20549 F CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Section 16(a) of the Securities Exchange Act of 1934, Public Utility Holding Company Act of 1935 or Section of the Investment Company Act of 1940 | | | | | | Expires: Estimated a burden hour response | |
| <i>See</i> Insta 1(b). | ruction | 50(11) | | ivestinen | t Compa | y 7 x | | | | |
| (Print or Type | Responses) | | | | | | | | | |
| 1. Name and A LAIN TIM | Address of Reporting OTHY | | Symbol | er Name an ENTER I [CRS] | | | Ι | 5. Relationship of l ssuer (Check | Reporting Pers | |
| (Last) C/O CARP CORPORA STREET, 1 | | | | | | Director 10% Owner X Officer (give title Other (specify below) below) VP-Controller, Chf Acctg Ofcr | | | | |
| F | | | Filed(Month/Day/Year) | | | | A | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting | | |
| (City) | LPHIA, PA 19103 | | | | | | | Person | | |
| 1.Title of Security (Instr. 3) | (State) 2. Transaction Date (Month/Day/Year) | | ed Date, if | 3. Transacti Code (Instr. 8) | 4. Securi | ities A osed of 4 and (A) or | cquired (A) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | or Beneficial 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of |
| Common Stock | 05/04/2018 | | | М | 300 | А | \$ 43.65 | 11,288 | D | |
| Common Stock | 05/04/2018 | | | М | 300 | А | \$ 17.29 | 11,588 | D | |
| Common Stock | 05/04/2018 | | | М | 407 | А | \$ 33.85 | 11,995 | D | |
| Common Stock | 05/04/2018 | | | S | 1,007 | D | \$ 54.9967 | 10,992.749 (2) | D | |

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| Common Stock | | | | | | 2,061.014 | <u>(3)</u> I | By 401 Plan | (k) |
|--|---|---|---|--|---|--|--------------------|---|--|
| Reminder: Re | port on a sepa | rate line for each class | s of securities benefic | Persons informat required | who responsion contain to responsion contain to responsion contract | ndirectly. ond to the col ned in this for d unless the f y valid OMB c | m are not orm | 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. Transactic Code (Instr. 8) | | 6. Date Exerci Expiration Dat (Month/Day/Y | ie | 7. Title and 4 Underlying 3 (Instr. 3 and | Securities |
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Employee Stock Option | \$ 43.65 | 05/04/2018 | | М | 100 | 06/30/2009 | 06/30/2018 | Common Stock | 100 |
| Employee Stock Option | \$ 43.65 | 05/04/2018 | | М | 100 | 06/30/2010 | 06/30/2018 | Common Stock | 100 |
| Employee Stock Option | \$ 43.65 | 05/04/2018 | | М | 100 | 06/30/2011 | 06/30/2018 | Common Stock | 100 |
| Employee Stock Option | \$ 17.29 | 05/04/2018 | | М | 100 | 07/29/2010 | 07/29/2019 | Common Stock | 100 |
| Employee Stock Option | \$ 17.29 | 05/04/2018 | | М | 100 | 07/29/2011 | 07/29/2019 | Common Stock | 100 |
| Employee Stock Option | \$ 17.29 | 05/04/2018 | | М | 100 | 07/29/2012 | 07/29/2019 | Common Stock | 100 |
| Employee Stock Option | \$ 33.85 | 05/04/2018 | | М | 136 | 08/17/2011 | 08/17/2020 | Common Stock | 136 |

8. D So (I

| Employee Stock Option | \$ 33.85 | 05/04/2018 | М | 136 | 08/17/2012 | 08/17/2020 | Common Stock | 136 |
|-----------------------------|----------|------------|---|-----|------------|------------|-----------------|-----|
| Employee Stock Option | \$ 33.85 | 05/04/2018 | М | 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 | | | VP-Controller, Chf Acctg Ofcr | | | |
| 1735 MARKET STREET, 15TH FL | | | | | | |
| PHILADELPHIA, PA 19103 | | | | | | |
| Signatures | | | | | | |

y

| James D. | 05/08/2018 |
|----------|------------|
| Dee/POA | 05/06/2018 |
| ****** | |

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).
- The price reported is an average of the total transactions executed for the day, with the individual transactions ranging from a low (1)of \$54.98 per share to a high of \$55.02 per share.
- Includes shares acquired under the Carpenter Technology Corporation Dividend Reinvestment Program. (2)
- Includes shares acquired under the Savings Plan of Carpenter Technology Corporation. The share balance under the Savings Plan (3)of Carpenter Technology fluctuates due to rounding differences produced by the Plan's method of estimating shares.
- The reporting person was granted an option to buy shares of common stock under the Carpenter Technology Corporation (4) 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.