

Malloy Brian J
Form 3
October 17, 2018

FORM 3

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

OMB APPROVAL

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**INITIAL STATEMENT OF 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 *

Â Malloy Brian J

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

10/09/2018

3. Issuer Name **and** Ticker or Trading Symbol

CARPENTER TECHNOLOGY CORP [CRS]

4. Relationship of Reporting
Person(s) to Issuer

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

(Check all applicable)

___ Director ___ 10% Owner

X Officer ___ Other

(give title below) (specify below)

VP - Chief Commercial Officer

6. Individual or Joint/Group

Filing(Check Applicable Line)

X Form filed by One Reporting
Person

___ Form filed by More than One
Reporting Person

CARPENTER TECHNOLOGY
CORPORATION,Â 1735
MARKET STREET, 15TH FL

(Street)

PHILADELPHIA,Â PAÂ 19103

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

21,785

D

Â

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

SEC 1473 (7-02)

**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.**

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

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and
Expiration Date
(Month/Day/Year)

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

4. Conversion
or Exercise
Price of
Derivative

5. Ownership
Form of
Derivative
Security:

6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Options	08/03/2016	08/03/2025	Common Stock	2,210	\$ 36.82	D	Â
Employee Stock Options	08/03/2017	08/03/2025	Common Stock	2,210	\$ 36.82	D	Â
Employee Stock Options	08/03/2018	08/03/2025	Common Stock	2,210	\$ 36.82	D	Â
Employee Stock Options	08/01/2017	08/01/2026	Common Stock	1,925	\$ 39.02	D	Â
Employee Stock Options	08/01/2018	08/01/2026	Common Stock	1,925	\$ 39.02	D	Â
Employee Stock Options	08/01/2019	08/01/2026	Common Stock	1,924	\$ 39.02	D	Â
Employee Stock Options	08/01/2019	08/01/2026	Common Stock	56,981	\$ 39.02	D	Â
Employee Stock Options	07/31/2018	07/31/2027	Common Stock	1,835	\$ 40.43	D	Â
Employee Stock Options	07/31/2019	07/31/2027	Common Stock	1,835	\$ 40.43	D	Â
Employee Stock Options	07/31/2020	07/31/2027	Common Stock	1,835	\$ 40.43	D	Â
Employee Stock Options	08/06/2019	08/06/2028	Common Stock	1,426	\$ 58.94	D	Â
Employee Stock Options	08/06/2020	08/06/2028	Common Stock	1,425	\$ 58.94	D	Â
Employee Stock Options	08/06/2021	08/06/2028	Common Stock	1,425	\$ 58.94	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
Malloy Brian J CARPENTER TECHNOLOGY CORPORATION 1735 MARKET STREET, 15TH FL PHILADELPHIA, PA 19103	Â	Â	Â VP - Chief Commercial Officer		Â

Signatures

James D.
Dee/POA

10/17/2018

__Signature of
Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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).

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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