

STEPHANS PETER N
Form 4
May 04, 2006

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 *
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)

3. Date of Earliest Transaction (Month/Day/Year)
05/03/2006

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

CARPENTER TECHNOLOGY CORPORATION, 101 WEST BERN STREET

(Street)

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

READING, PA 19601

(City) (State) (Zip)

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 or Price		
Common Stock	05/03/2006		S		\$ 127.2365 (1)	D	
Common Stock	05/03/2006		S		\$ 127.2365 (1)	I	By Spouse
Common Stock	05/03/2006		S		\$ 127.2365 (1)	I	Spouse of Trustee

Edgar Filing: STEPHANS PETER N - Form 4

Common Stock	05/03/2006		S	300	D	\$ 127.2365	9,700 ⁽⁴⁾	I	Spouse of Trustee
						<u>(1)</u>			

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

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. 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. Nu Deriv Secur Benef Own Follo Repor Trans (Instr
---	--	---	---	--------------------------------------	--	--	---	---	--

Date Exercisable	Expiration Date	Title	Amount or Number of Shares
---------------------	--------------------	-------	--

Code	V	(A)	(D)
------	---	-----	-----

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
STEPHANS PETER N CARPENTER TECHNOLOGY CORPORATION 101 WEST BERN STREET READING, PA 19601	X

Signatures

David A.
Christiansen/POA 05/04/2006

 **Signature of Reporting Date
Person

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 \$127.02 per share to a high of \$127.40 per share.

Edgar Filing: STEPHANS PETER N - Form 4

- (2) These shares are held in the Peter N. Stephans Revocable Trust, dated March 15, 2004, Peter N. Stephans and Joan R. Stephans, Trustees
 - (3) These shares are held in the Joan R. Stephans Revocable Trust, dated March 15, 2004, Peter N. Stephans and Joan R. Stephans, Trustees
- These shares are held in the Irrevocable Deed of Trust of Peter C. Rossin and Ada E. Rossin, dated July 12, 1989, Ada E. Rossin and Joan Elizabeth 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.
- (4)

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.

	(308)
	1,791
Total operating income	11,836
	3,435
	3,254
	456
	1,100
	(308)
	19,773
Net insurance claims ⁵⁰	(6,025)
	(545)
	-
	-
	-
	-
	(6,570)
Net operating income ⁴	5,811
	2,890
	3,254
	456
Explanation of Responses:	3

	1,100
	(308)
	13,203
Loan impairment (charges)/ recoveries and other credit risk provisions	(137)
	(16)
	20
	(4)
	-
	-
	(137)
Net operating income	5,674
	2,874
	3,274
	452
	1,100
	(308)
	13,066
Total operating expenses	(1,999)
	(764)
	(1,304)
	(244)
	(1,042)
	308

	(5,045)
Operating profit	3,675
	2,110
	1,970
	208
	58
	-
	8,021
Share of profit in associates and joint ventures	67
	-
	1
	-
	-
	-
	68
Profit before tax	3,742
	2,110
	1,971
	208
	58
	-
	8,089
%	
%	
Explanation of Responses:	5

%

%

%

%

Share of HSBC's profit
before tax
16.6

9.4

8.7

0.9

0.3

35.9
Cost efficiency ratio
34.4

26.4

40.1

53.5

94.7

38.2

Balance sheet data40

US\$m

US\$m

US\$m

US\$m

US\$m

US\$m

Loans and advances to customers (net)

64,990

74,125

Explanation of Responses:

	48,117
	6,928
	1,387
Total assets	195,547
	103,816
	84,143
	311,771
	8,020
	59,970
	(12,307)
Customer accounts	555,413
	213,471
	97,191
	35,617
	19,428
	286
	365,993

Profit/(loss) before tax and balance sheet data - Hong Kong (continued)

	2012						
	Retail Banking and Wealth Management US\$m	Commercial Banking US\$m	Global Banking and Markets US\$m	Global Private Banking US\$m	Other US\$m	Inter- segment elimination ⁴⁹ US\$m	Total US\$m
Profit/(loss) before tax	2,851	1,629	1,087	149	(482)	82	5,316

Explanation of Responses:

Edgar Filing: STEPHANS PETER N - Form 4

Net interest income/(expense)							
Net fee income	1,769	850	548	155	13	-	3,335
Trading income/(expense) excluding net interest income	176	163	666	170	(2)	-	1,173
Net interest income on trading activities	10	2	352	-	8	(82)	290
Net trading income ⁴⁴	186	165	1,018	170	6	(82)	1,463
Changes in fair value of long- term debt issued and related derivatives	-	-	-	-	-	-	-
Net income/(expense) from other financial instruments designated at fair value	511	(53)	23	-	(34)	-	447
Net income/(expense) from financial instruments designated at fair value	511	(53)	23	-	(34)	-	447
Gains less losses from financial investments	-	-	2	7	313	-	322
Dividend income	-	1	5	-	18	-	24
Net earned insurance premiums	5,294	655	8	-	-	-	5,957
Other operating income	711	253	77	13	1,152	(282)	1,924

Explanation of Responses:

Edgar Filing: STEPHANS PETER N - Form 4

Total operating income	11,322	3,500	2,768	494	986	(282)	18,788
Net insurance claims ⁵⁰	(5,757)	(602)	(7)	-	-	-	(6,366)
Net operating income ⁴	5,565	2,898	2,761	494	986	(282)	12,422
Loan impairment (charges)/ recoveries and other credit risk provisions	(97)	3	17	3	-	-	(74)
Net operating income	5,468	2,901	2,778	497	986	(282)	12,348
Total operating expenses	(1,819)	(719)	(1,263)	(248)	(1,081)	282	(4,848)
Operating profit/(loss)	3,649	2,182	1,515	249	(95)	-	7,500
Share of profit in associates and joint ventures	45	6	3	-	28	-	82
Profit/(loss) before tax	3,694	2,188	1,518	249	(67)	-	7,582
	%	%	%	%	%		%
Share of HSBC's profit before tax	17.9	10.6	7.3	1.2	(0.3)		36.7
Cost efficiency ratio	32.7	24.8	45.7	50.2	109.6		39.0
Balance sheet data ⁴⁰	US\$m	US\$m	US\$m	US\$m	US\$m		US\$m
Loans and advances to customers (net)	62,533	62,944	40,223	6,464	1,449		173,613
Total assets	96,185	72,056	256,295	20,705	81,085	(7,992)	518,334
Customer accounts	201,649	90,152	34,171	19,566	670		346,208

Explanation of Responses:

For footnotes, see page 132.

SIGNATURE

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

HSBC Holdings plc

By:

Name: Ben J S Mathews

Title: Group Company Secretary

Date: 25 March 2014