

CARPENTER TECHNOLOGY CORP

Form 5

August 14, 2015

FORM 5**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).

Form 3 Holdings
Reported
Form 4
Transactions
Reported

**ANNUAL 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

OMB
Number: 3235-0362
Expires: January 31,
2005
Estimated average
burden hours per
response... 1.0

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

(Last) (First) (Middle)

CARPENTER TECHNOLOGY
CORPORATION, PO BOX 14662

(Street)

READING, PA 19612-4662

(City) (State) (Zip)

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

3. Statement for Issuer's Fiscal Year Ended
(Month/Day/Year)
06/30/2015

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

6. Individual or Joint/Group Reporting

(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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	12/22/2014	Â	G	12,621 D \$ 0	25,675	I	By spouse in trust
Common Stock	12/22/2014	Â	G	12,621 A \$ 0	12,621	I	By Foundation (1)
Common Stock	05/04/2015	Â	G	281 D \$ 0	12,340 (1)	I	By Foundation

Edgar Filing: CARPENTER TECHNOLOGY CORP - Form 5

Common Stock	Â	Â	Â	Â	Â	Â	52,086 ⁽²⁾	D	Â
Common Stock	Â	Â	Â	Â	Â	Â	10,005 ⁽³⁾	I	Spouse of Trustee
Common Stock	Â	Â	Â	Â	Â	Â	10,005 ⁽³⁾	I	Spouse of Trustee

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 2270
(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. I. De. Sec. (In
					(A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares	
Director Stock Units	Â	Â	Â	Â	Â Â	Â ⁽⁵⁾ Â ⁽⁵⁾	Common Stock	26,648.51

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

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

Â X Â Â Â

Signatures

James D.
Dee/POA

08/14/2015

**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 held by the Peter N. and Joan Rossin Stephans Foundation, on which reporting person is a trustee.
- (2) These shares are held in the Peter N. 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.
- (3)
- (4) Converts to common stock on a 1-for-1 basis
- (5) Payable upon the later of separation of service or a specified date or event
- (6) Includes dividend equivalents not previously reported.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.