

CARPENTER TECHNOLOGY CORP

Form 3

October 13, 2016

FORM 3UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**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 DEE JAMES D

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

10/11/2016

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

CARPENTER TECHNOLOGY CORP [CRS]

4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ X Officer ☐ Other

(give title below) (specify below)

VP, Gen Counsel & Secretary

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ X Form filed by One Reporting
Person☐ Form filed by More than One
Reporting PersonCARPENTER TECHNOLOGY
CORPORATION,Â PO BOX
14662

(Street)

READING,Â PAÂ 19612

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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

24,922 ⁽¹⁾

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
Derivative5. Ownership
Form of
Derivative
Security:6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

Edgar Filing: CARPENTER TECHNOLOGY CORP - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (right to buy)	Â (2)	09/13/2020	Common Stock	4,952	\$ 34.77	D	Â
Employee Stock Option (right to buy)	Â (3)	07/28/2021	Common Stock	3,144	\$ 56.52	D	Â
Employee Stock Option (right to buy)	Â (4)	07/31/2022	Common Stock	3,596	\$ 47.86	D	Â
Employee Stock Option (right to buy)	Â (5)	07/30/2023	Common Stock	3,392	\$ 52.41	D	Â
Employee Stock Option (right to buy)	03/01/2017	03/01/2021	Common Stock	3,511	\$ 59.15	D	Â
Employee Stock Option (right to buy)	Â (6)	08/01/2024	Common Stock	4,210	\$ 53.95	D	Â
Employee Stock Option (right to buy)	Â (7)	08/03/2025	Common Stock	8,751	\$ 36.82	D	Â
Employee Stock Option (right to buy)	Â (8)	08/01/2026	Common Stock	9,238	\$ 39.02	D	Â
Employee Stock Option (right to buy)	08/01/2019	08/01/2026	Common Stock	61,938	\$ 39.02	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
DEE JAMES D CARPENTER TECHNOLOGY CORPORATION PO BOX 14662 READING,Â PAÂ 19612	Â	Â	Â VP, Gen Counsel & Secretary	Â

Signatures

James D. Dee 10/13/2016

**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).
- (1) Includes restricted stock units granted under the Carpenter Technology Corporation Stock-Based Compensation Plan for Officers and Key Employees.
- (2) This award became exercisable in equal amounts on each of 9/13/11, 9/13/12 and 9/13/13.
- (3) This award became exercisable in equal amounts on each of 7/28/12, 7/28/13 and 7/28/14.

Edgar Filing: CARPENTER TECHNOLOGY CORP - Form 3

- (4) This award became exercisable in equal amounts on each of 7/31/13, 7/31/14 and 7/31/15.
- (5) This award became exercisable in equal amounts on each of 7/30/14, 7/30/15 and 7/30/16.
- (6) One-third of this award became exercisable on each of 8/1/15 and 8/1/16; and one-third will become exercisable on 8/1/17.
- (7) One-third of this award became exercisable on 8/3/16; and one-third will become exercisable on each of 8/3/17 and 8/3/18.
- (8) This award will become exercisable in equal amounts on each of 8/1/17, 8/1/18 and 8/1/19.

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.