

CARPENTER TECHNOLOGY CORP
 Form 3
 October 13, 2016

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 *
 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 Issuer

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

CARPENTER TECHNOLOGY CORPORATION, PO BOX 14662

(Street)

READING, PA 19612

(City) (State) (Zip)

(Check all applicable)

Director 10% Owner
 Officer Other
 (give title below) (specify below)
 VP, Gen Counsel & Secretary

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

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	24,922 ⁽¹⁾	D	

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

SEC 1473 (7-02)

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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 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, PA 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.

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- (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.