### Edgar Filing: CARPENTER TECHNOLOGY CORP - Form 3

#### CARPENTER TECHNOLOGY CORP

Form 3 June 21, 2013

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

OMB APPROVAL

OMB Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

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 *  LAIN TIMOTHY		2. Date of Event Requiring Statement (Month/Day/Year)		3. Issuer Name and Ticker or Trading Symbol CARPENTER TECHNOLOGY CORP [CRS]						
(Last) (l	First)	(Middle)	06/13/2013		4. Relationship of Reporting Person(s) to Issuer				5. If Amendment, Date Origin Filed(Month/Day/Year)	
C/O CARPENTER TECHNOLOGY CORPORATION, PO BOX 4662 (Street) READING, PA 19612					(Check all applicable)  Director 10% Owner X Officer Other (give title below) (specify below)  VP-Controller, Chf Acctg Ofcr		Owner ow)			
(City) (S	State)	(Zip)	,	Table I - N	lon-Deri	vativ	e Securiti	es Be	neficially Owned	
1.Title of Security (Instr. 4)				2. Amount of Beneficially (Instr. 4)		C F C o	Dwnership Form: Direct (D) or Indirect I) Instr. 5)	4. Na Owne (Instr	*	
Common Stock				968 (1)			D	Â		
Common Stock				1,588.667			I	By 4	-01(k) Plan	
Reminder: Report of the country of t	_	te line for ea	ch class of secur	rities benefici	ally	SEC	C 1473 (7-02	)		
·	Person	ation conta	oond to the co nined in this fo nd unless the	orm are not						

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

currently valid OMB control number.

### Edgar Filing: CARPENTER TECHNOLOGY CORP - Form 3

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	5. Ownership Form of Derivative	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	(2)	06/30/2018	Common Stock	300	\$ 43.65	D	Â
Employee Stock Option (Right to Buy)	(3)	07/29/2019	Common Stock	300	\$ 17.29	D	Â
Employee Stock Option (Right to Buy)	(4)	08/17/2020	Common Stock	407	\$ 33.85	D	Â
Employee Stock Option (Right to Buy)	(5)	07/28/2021	Common Stock	225	\$ 56.52	D	Â
Employee Stock Option (Right to Buy)	(6)	08/27/2022	Common Stock	252	\$ 48.85	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
1	Director	10% Owner	Officer	Other			
LAIN TIMOTHY							
C/O CARPENTER TECHNOLOGY							
CORPORATION	Â	Â	VP-Controller, Chf Acctg Ofcr	Â			
PO BOX 14662							
READING, PA 19612							

# **Signatures**

/s/Timothy Lain 06/21/2013

\*\*Signature of Person Date

Reporting Person

### **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) The reporting person was granted restricted stock units under the Carpenter Technology Corporation Stock-Based Compensation Plan for Officers and Key Employees.
- (2) One-third of this award became exercisable on each of 06/30/09, 06/30/10 and 06/30/11.
- (3) One-third of this award became exercisable on each of 07/29/10, 07/29/11 and 07/29/12
- (4) One-third of this award became exercisable on each of 08/17/11 and 08/17/12; one-third will become exercisable on 08/17/13.
- (5) One-third of this award became exercisable on 07/28/12; one-third will become exercisable on each of 07/28/13 and 07/28/14.
- (6) One-third of this award will become exercisable on each of 08/27/13, 08/27/14 and 08/27/15.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, See Instruction 6 for procedure.

Reporting Owners 2

## Edgar Filing: CARPENTER TECHNOLOGY CORP - Form 3

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.