Edgar Filing: AMERICAN AXLE & MANUFACTURING HOLDINGS INC - Form 4

AMERICAN AXLE & MANUFACTURING HOLDINGS INC

Form 4

March 03, 2011

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

Check this box if no longer subject to Section 16.

Form 4 or

Form 5 obligations may continue.

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

See Instruction 1(b).

30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

(Print or Type Responses)

1. Name and Address of Reporting Person *

DAUCH RICHARD E

2. Issuer Name and Ticker or Trading

Symbol

AMERICAN AXLE & MANUFACTURING HOLDINGS

3. Date of Earliest Transaction

INC [AXL]

(Last) (First) (Middle)

(Month/Day/Year) 03/01/2011

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

X Director 10% Owner _X__ Officer (give title Other (specify

below)

Co-Founder, Chairman & CEO

6. Individual or Joint/Group Filing(Check

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

Person

DETROIT, MI 48211-1198

ONE DAUCH DRIVE

(City)	(State)	(Zip) Tabl	e I - Non-D	Derivative S	Securi	ties Acqu	ired, Disposed of	, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactic Code (Instr. 8)	4. Securit on(A) or Dis (Instr. 3, 4)	sposed	of (D)	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)
Common Stock	03/01/2011		S(1)	1,400	D	\$ 13.27	5,906,362 (2)	I	By Family Trusts
Common Stock	03/01/2011		S <u>(1)</u>	4,137	D	\$ 13.28	5,902,225	I	By Family Trusts
Common Stock	03/01/2011		S <u>(1)</u>	25,217	D	\$ 13.3	5,877,008	I	By Family Trusts
Common Stock	03/01/2011		S <u>(1)</u>	1,000	D	\$ 13.31	5,876,008	I	By Family Trusts
Common Stock	03/01/2011		S(1)	7,178	D	\$ 13.33	5,868,830	Ι	By Family Trusts

Edgar Filing: AMERICAN AXLE & MANUFACTURING HOLDINGS INC - Form 4

03/01/2011	S(1)	8,700	D	\$ 13.34	5,860,130	I	By Family Trusts
03/01/2011	S <u>(1)</u>	25,380	D	\$ 13.35	5,834,750	I	By Family Trusts
03/01/2011	S <u>(1)</u>	7,130	D	\$ 13.37	5,827,620	I	By Family Trusts
03/01/2011	S <u>(1)</u>	19,300	D	\$ 13.38	5,808,320	I	By Family Trusts
03/01/2011	S <u>(1)</u>	700	D	\$ 13.39	5,807,620	I	By Family Trusts
03/01/2011	S <u>(1)</u>	9,758	D	\$ 13.4	5,797,862	I	By Family Trusts
03/01/2011	S <u>(1)</u>	200	D	\$ 13.41	5,797,662	I	By Family Trusts
03/01/2011	S <u>(1)</u>	9,900	D	\$ 13.5	5,787,762	I	By Family Trusts
03/01/2011	S <u>(1)</u>	24,400	D	\$ 13.55	5,763,362	I	By Family Trusts
03/01/2011	S <u>(1)</u>	4,800	D	\$ 13.56	5,758,562	I	By Family Trusts
03/01/2011	S <u>(1)</u>	700	D	\$ 13.57	5,757,862	I	By Family Trusts
03/01/2011	S <u>(1)</u>	100	D	\$ 13.58	5,757,762	I	By Family Trusts
03/02/2011	S <u>(1)</u>	39,075	D	\$ 13.25	5,718,687	I	By Family Trusts
03/02/2011	S <u>(1)</u>	9,925	D	\$ 13.3	5,708,762	I	By Family Trusts
03/02/2011	S <u>(1)</u>	9,100	D	\$ 13.35	5,699,662	I	By Family Trusts
03/02/2011	S <u>(1)</u>	900	D	\$ 13.36	5,698,762	I	By Family Trusts
	03/01/2011 03/01/2011 03/01/2011 03/01/2011 03/01/2011 03/01/2011 03/01/2011 03/01/2011 03/01/2011 03/01/2011 03/02/2011 03/02/2011	03/01/2011 S(1) 03/02/2011 S(1) 03/02/2011 S(1) 03/02/2011 S(1) 03/02/2011 S(1) 03/02/2011 S(1)	03/01/2011 S(1) 25,380 03/01/2011 S(1) 7,130 03/01/2011 S(1) 19,300 03/01/2011 S(1) 700 03/01/2011 S(1) 9,758 03/01/2011 S(1) 200 03/01/2011 S(1) 9,900 03/01/2011 S(1) 24,400 03/01/2011 S(1) 700 03/01/2011 S(1) 700 03/01/2011 S(1) 100 03/02/2011 S(1) 39,075 03/02/2011 S(1) 9,925 03/02/2011 S(1) 9,100	03/01/2011 S(1) 25,380 D 03/01/2011 S(1) 7,130 D 03/01/2011 S(1) 19,300 D 03/01/2011 S(1) 700 D 03/01/2011 S(1) 9,758 D 03/01/2011 S(1) 200 D 03/01/2011 S(1) 9,900 D 03/01/2011 S(1) 24,400 D 03/01/2011 S(1) 700 D 03/01/2011 S(1) 700 D 03/01/2011 S(1) 39,075 D 03/02/2011 S(1) 9,925 D 03/02/2011 S(1) 9,100 D	03/01/2011 S(I) 25,380 D \$ 13.35 03/01/2011 S(I) 7,130 D \$ 13.37 03/01/2011 S(I) 19,300 D \$ 13.38 03/01/2011 S(I) 700 D \$ 13.39 03/01/2011 S(I) 9,758 D \$ 13.4 03/01/2011 S(I) 200 D \$ 13.41 03/01/2011 S(I) 9,900 D \$ 13.55 03/01/2011 S(I) 24,400 D \$ 13.56 03/01/2011 S(I) 700 D \$ 13.57 03/01/2011 S(I) 700 D \$ 13.58 03/02/2011 S(I) 9,925 D \$ 13.3 03/02/2011 S(I) 9,925 D \$ 13.35 03/02/2011 S(I) 9,100 D \$ 13.35	03/01/2011 S(1)	03/01/2011 S(1) 25,380 D \$ 5,834,750 I 03/01/2011 S(1) 7,130 D \$ 5,827,620 I 03/01/2011 S(1) 19,300 D \$ 5,808,320 I 03/01/2011 S(1) 700 D \$ 5,807,620 I 03/01/2011 S(1) 9,758 D \$ 13.4 5,797,862 I 03/01/2011 S(1) 9,900 D \$ 13.5 5,787,762 I 03/01/2011 S(1) 9,900 D \$ 13.55 5,763,362 I 03/01/2011 S(1) 24,400 D \$ 5,758,562 I 03/01/2011 S(1) 4,800 D \$ 5,758,562 I 03/01/2011 S(1) 700 D \$ 13.57 5,757,862 I 03/02/2011 S(1) 39,075 D \$ 13.58 5,757,762 I 03/02/2011 S(1) 9,925 D \$ 13.3 5,708,762 I 03/02/2011 S(1) 9,100 D \$ 5,699,662 I

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)

Edgar Filing: AMERICAN AXLE & MANUFACTURING HOLDINGS INC - Form 4

1	. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	Date Exer	cisable and	7. Titl	e and	8. Price of	9. Nu
I	Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transact	tionNumbe	r Expiration I	Date	Amou	nt of	Derivative	Deriv
5	Security	or Exercise		any	Code	of	(Month/Day	/Year)	Under	lying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)) Derivat	ive		Securi	ities	(Instr. 5)	Bene
		Derivative				Securit	ies		(Instr.	3 and 4)		Owne
		Security				Acquire	ed		`	ĺ		Follo
		J				(A) or						Repo
						Dispose	ed					Trans
						of (D)						(Instr
						(Instr. 3	3.					(
						4, and 5						
						,	,					
					Code V	V (A) (I		Expiration	Title	Amount		
							Exercisable	Date		or		
										Number		
										of		
										Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
DAUCH RICHARD E							
ONE DAUCH DRIVE	X		Co-Founder, Chairman & CEO				
DETROIT, MI 48211-1198							

Signatures

Laura L. Douglas, Attorney-in fact 03/03/2011

**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) The sales reported in this Form 4 were affected pursuant to a rule 10b5-1 trading plan adopted by Sandra J. Dauch Gift Trust DTD May 25, 1998, Richard E. Dauch, Trustee, on March 10, 2010.
- (2) Includes 151,500 shares previously reported as directly beneficially owned by the reporting person. These 151,500 shares were transferred to a grantor retained annuity trust on February 23, 2011.

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.

Reporting Owners 3