

THOMAS SAMUEL F
Form 4
January 04, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
THOMAS SAMUEL F

(Last) (First) (Middle)

3055 TORRINGTON DRIVE

(Street)

BALL GROUND, GA 30107

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

CHART INDUSTRIES INC [GTLIS]

3. Date of Earliest Transaction (Month/Day/Year)

01/02/2018

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)

Executive Chairman

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 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 Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|--|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | | (A) or (D) | Price | | |
| Common stock, par value \$0.01 per share | 01/02/2018 | | F | 1,440 (1) | \$ 48.39 | 174,860 | D |
| Common stock, par value \$0.01 per share | 01/03/2018 | | F | 2,294 (2) | \$ 50.99 | 172,566 (3) | D |
| Common stock, par value \$0.01 per share (4) | | | | | | 28,275 | I By spouse |

| | | | |
|---|--------|---|----------------------|
| Common stock, par value \$0.01 per share ⁽⁴⁾ | 48,020 | I | By Trusts <u>(5)</u> |
| Common stock, par value \$0.01 per share ⁽⁴⁾ | 36,000 | I | By Trust <u>(6)</u> |
| Common stock, par value \$0.01 per share ⁽⁴⁾ | 54,000 | I | By Trust <u>(7)</u> |
| Common stock, par value \$0.01 per share ⁽⁴⁾ | 46,000 | I | By Trust <u>(8)</u> |

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)

| 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. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
| | | | | | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| | | | | Code | V (A) (D) | | | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|--------------------|-------|
| | Director | 10% Owner | Officer | Other |
| THOMAS SAMUEL F 3055 TORRINGTON DRIVE | X | | Executive Chairman | |

BALL GROUND, GA 30107

Signatures

/s/ Samuel F. Thomas, by Derek B. Swanson, his
attorney-in-fact

01/04/2018

__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 reporting person surrendered 1,440 shares subject to the restricted share unit award, to satisfy tax withholding liabilities associated with the award, in an exempt transaction under Rule 16b-3
- (2) The reporting person surrendered 2,294 shares subject to the restricted share unit award, to satisfy tax withholding liabilities associated with the award, in an exempt transaction under Rule 16b-3
19,038 and 24,934 shares of the total amount beneficially owned were granted on January 3, 2017 and January 4, 2016, respectively,
- (3) pursuant to restricted share unit agreements under the Chart Industries, Inc. Amended and Restated 2009 Omnibus Equity Plan in an exempt transaction under Rule 16b-3 and remain subject to restriction.
- (4) No transaction is being reported on this line. Reported on a previously filed Form 4 or Form 5.
Held by trusts for the benefit of the reporting person's family member. The reporting person disclaims beneficial ownership of the shares
- (5) held by the trusts, and this report should not be deemed an admission that the reporting person is the beneficial owner of the trusts' shares for purposes of Section 16 or for any other purpose.
Held by trust, with spouse as trustee, for the benefit of the reporting person's family member. The reporting person disclaims beneficial
- (6) ownership of the shares held by the trust, and this report should not be deemed an admission that the reporting person is the beneficial owner of the trust's shares for purposes of Section 16 or for any other purpose.
Held by trust for the benefit of the reporting person's family members, including his spouse. The reporting person disclaims beneficial
- (7) ownership of the shares held by the trust, and this report should not be deemed an admission that the reporting person is the beneficial owner of the trust's shares for purposes of Section 16 or for any other purpose.
- (8) Held by trust for the benefit of the reporting person's family members, including the reporting person.

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.