

SOCCI ELIZABETH A

Form 3

September 21, 2018

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 *

Â SOCCI ELIZABETH A

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

09/14/2018

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)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

VP, Controller & Chf Acctg Off

C/O CARPENTER

TECHNOLOGY

CORPORATION,Â 1735

MARKET STREET, 15TH

FLOOR

(Street)

PHILADELPHIA,Â PAÂ 19103

(City)

(State)

(Zip)

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

3,618

D

Â

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

3. Title and Amount of Securities Underlying

4. Conversion

5. Ownership

6. Nature of Indirect Beneficial

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	(Month/Day/Year)		Derivative Security (Instr. 4)		or Exercise Price of Derivative Security	Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Employee Stock Option	08/03/2016	08/03/2025	Common Stock	442	\$ 36.82	D	Â
Employee Stock Option	08/03/2017	08/03/2025	Common Stock	442	\$ 36.82	D	Â
Employee Stock Option	08/03/2018	08/03/2025	Common Stock	442	\$ 36.82	D	Â
Employee Stock Option	08/01/2017	08/01/2026	Common Stock	385	\$ 39.02	D	Â
Employee Stock Option	08/01/2018	08/01/2026	Common Stock	385	\$ 39.02	D	Â
Employee Stock Option	08/01/2019	08/01/2026	Common Stock	385	\$ 39.02	D	Â
Employee Stock Option	07/31/2018	07/31/2027	Common Stock	331	\$ 40.43	D	Â
Employee Stock Option	07/31/2019	07/31/2027	Common Stock	330	\$ 40.43	D	Â
Employee Stock Option	07/31/2020	07/31/2027	Common Stock	330	\$ 40.43	D	Â
Employee Stock Option	08/06/2019	08/06/2028	Common Stock	268	\$ 58.94	D	Â
Employee Stock Option	08/06/2020	08/06/2028	Common Stock	267	\$ 58.94	D	Â
Employee Stock Option	08/06/2021	08/06/2028	Common Stock	267	\$ 58.94	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SOCCI ELIZABETH A C/O CARPENTER TECHNOLOGY CORPORATION 1735 MARKET STREET, 15TH FLOOR PHILADELPHIA, PA 19103	Â	Â	Â VP, Controller & Chf Acctg Off	Â

Signatures

James D.
Dee/POA

09/21/2018

__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).

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

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