

CARPENTER TECHNOLOGY CORP  
 Form 5  
 August 14, 2015

**FORM 5**

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

OMB APPROVAL

OMB Number: 3235-0362  
 Expires: January 31, 2005  
 Estimated average burden hours per response... 1.0

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).  
 Form 3 Holdings Reported Form 4 Transactions Reported

**ANNUAL 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

1. Name and Address of Reporting Person \*  
 STEPHANS PETER N

2. Issuer Name and Ticker or Trading Symbol  
 CARPENTER TECHNOLOGY CORP [CRS]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)  
 06/30/2015

Director  10% Owner  
 Officer (give title below)  Other (specify below)

CARPENTER TECHNOLOGY CORPORATION, PO BOX 14662

(Street)

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

6. Individual or Joint/Group Reporting

(check applicable line)

READING, PA 19612-4662

Form Filed by One Reporting Person  
 Form Filed by More than One Reporting Person

(City) (State) (Zip)

**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 at end of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|--|--|---|
| Common Stock                    | 12/22/2014                           | Â  | G                              | 12,621 D \$ 0   | 25,675   | I  | By spouse in trust                                    |
| Common Stock                    | 12/22/2014                           | Â  | G                              | 12,621 A \$ 0   | 12,621   | I  | By Foundation (1)                                     |
| Common Stock                    | 05/04/2015                           | Â  | G                              | 281 D \$ 0  | 12,340 (1)   | I  | By Foundation   |

Edgar Filing: CARPENTER TECHNOLOGY CORP - Form 5

|              |   |   |   |   |   |   |                       |   |                   |
|--------------|---|---|---|---|---|---|-----------------------|---|-------------------|
| Common Stock | Â | Â | Â | Â | Â | Â | 52,086 <sup>(2)</sup> | D | Â                 |
| Common Stock | Â | Â | Â | Â | Â | Â | 10,005 <sup>(3)</sup> | I | Spouse of Trustee |
| Common Stock | Â | Â | Â | Â | Â | Â | 10,005 <sup>(3)</sup> | I | Spouse of Trustee |

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 2270 (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. De                      |
|--|--|--------------------------------------|--|--------------------------------|---|-----|--|------------------|---|----------------------------|
|  |  |                                      |  |                                | (A)   | (D) | Date Exercisable   | Expiration Date  | Title   | Amount or Number of Shares |
| Director Stock Units                       | Â  | Â                                    | Â  | Â                              | Â   | Â   | Â <sup>(5)</sup>   | Â <sup>(5)</sup> | Common Stock  | 26,648.51                  |

## Reporting Owners

**Reporting Owner Name / Address**

**Relationships**

Director 10% Owner Officer Other

STEPHANS PETER N  
CARPENTER TECHNOLOGY CORPORATION  
PO BOX 14662  
READING, PA 19612-4662

Â X Â Â Â

## Signatures

James D.  
Dee/POA 08/14/2015

\*\*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) These shares are held by the Peter N. and Joan Rossin Stephans Foundation, on which reporting person is a trustee.
- (2) These shares are held in the Peter N. Stephans Revocable Trust, dated March 15, 2004, Peter N. Stephans and Joan R. Stephans, Trustees  
These shares are held in the Irrevocable Deed of Trust of Peter C. Rossin and Ada E. Rossin, dated July 12, 1989, Ada E. Rossin and Joan Elizabeth Rossin Stephans, Trustees, for the benefit of the reporting person's children. The reporting person disclaims beneficial ownership of these securities, and the filing of this report is not an admission that the reporting person is the beneficial owner of these securities for purposes of Section 16, or for any other purpose.
- (3)
- (4) Converts to common stock on a 1-for-1 basis
- (5) Payable upon the later of separation of service or a specified date or event
- (6) Includes dividend equivalents not previously reported.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.