## Edgar Filing: CARPENTER TECHNOLOGY CORP - Form 4

CARPENTER TECHNOLOGY CORP Form 4 October 17, 2007 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading STEPHANS PETER N Issuer Symbol CARPENTER TECHNOLOGY (Check all applicable) CORP [CRS] (Last) (First) (Middle) 3. Date of Earliest Transaction X\_ Director 10% Owner Officer (give title Other (specify (Month/Day/Year) below) below) CARPENTER TECHNOLOGY 10/15/2007 CORPORATION, PO BOX 14662 (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person \_ Form filed by More than One Reporting READING, PA 19612-4662 Person (State) (Zip) (City) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities Form: Direct Indirect (Instr. 3) any Code Disposed of (D) Beneficially (D) or Indirect Beneficial (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned (I) Ownership Following (Instr. 4) (Instr. 4) Reported (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number. Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of | 2.         | 3. Transaction Date | 3A. Deemed         | 4.        | 5. Number of | 6. Date Exercisable and | 7. Title and Amount o |
|-------------|------------|---------------------|--------------------|-----------|--------------|-------------------------|-----------------------|
| Derivative  | Conversion | (Month/Day/Year)    | Execution Date, if | Transacti | orDerivative | Expiration Date         | Underlying Securities |

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| Security<br>(Instr. 3)               | or Exercise<br>Price of<br>Derivative<br>Security |            | any<br>(Month/Day/Year) | Code<br>(Instr. 8) | Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4, and<br>5) | (Month/Day/Year)       |                    | (Instr. 3 and 4) |                           |
|--------------------------------------|---|------------|-------------------------|--------------------|---|------------------------|--------------------|------------------|---------------------------|
|                                      |   |            |                         | Code V             | 7 (A) (I  | D) Date<br>Exercisable | Expiration<br>Date | Title            | Amoun<br>Number<br>Shares |
| Stock<br>Option<br>(Right to<br>Buy) | \$ 127.07   | 10/15/2007 |                         | А                  | 1,807   | 10/15/2008             | 10/15/2017         | Common<br>Stock  | 1,80                      |
| Stock<br>Units                       | <u>(2)</u>  | 10/15/2007 |                         | А                  | 354.1355  | <u>(3)</u>             | (3)                | Common<br>Stock  | 354.1                     |

## **Reporting Owners**

| Reporting Owner Name   | Relationships                  |   |  |         |       |
|--|--------------------------------|---|--|---------|-------|
|  | Reporting Owner Funder Frances |   |  | Officer | Other |
| STEPHANS PETER N<br>CARPENTER TECHNOLOGY<br>PO BOX 14662<br>READING, PA 19612-4662 | CORPORATION                    | Х |  |         |       |
| Signatures   |                                |   |  |         |       |
| Oliver C. Mitchell<br>Jr./POA  | 10/17/2007                     |   |  |         |       |

\*\*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 was granted an option to purchase stock as part of his director's compensation with an effective grant date of 10/15/2007.
- (2) Converts to common stock on a 1-for-1 basis
- (3) Payable upon retirement
- (4) Includes dividend equivalents

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.