

Knapper Peter William
Form 4
November 15, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 *
Knapper Peter William

2. Issuer Name and Ticker or Trading Symbol
SIFCO INDUSTRIES INC [SIF]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
970 E. 64TH STREET

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
11/14/2018

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

CLEVELAND, OH 44103

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 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 Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
			Code	V	Amount	(D)	Price
SIFCO Industries, Inc. Common Stock	11/14/2018		A		19,355	A	19,355
SIFCO Industries, Inc. Common Stock					30,000	(2)	D
SIFCO Industries, Inc. Common Stock					11,445	(3)	D

Inc.
Common
Stock

SIFCO
Industries,

Inc.
Common
Stock

29,735 ⁽⁴⁾ D

SIFCO
Industries,

Inc.
Common
Stock

2,000 I By
daughter

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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. Nu Deriv Secur Benef Own Follo Repo Trans (Instr
				Code V (A) (D)		Date Exercisable Expiration Date	Title Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Knapper Peter William 970 E. 64TH STREET CLEVELAND, OH 44103	X		President & CEO	

Signatures

/s/ Elizabeth Button - by power of
attorney

11/15/2018

__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) Awarded 19,355 restricted shares of SIFCO Industries, Inc. common stock. Restriction to lapse on September 30, 2021.
- (2) On June 29, 2016, 30,000 restricted shares of SIFCO Industries, Inc. common stock were awarded. Restriction to lapse on the day immediately preceding the three year anniversary date of such award.
- (3) On January 9, 2017, 11,445 restricted shares of SIFCO Industries, Inc. common stock were awarded. Restriction to lapse on the day immediately preceding the three year anniversary date of such award.
- (4) On November 15, 2017, 29,735 restricted shares of SIFCO Industries, Inc. common stock were awarded. Restriction to lapse on September 30, 2020.

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.