HICKS THOMAS O

Form 4/A

December 11, 2012

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB

**OMB APPROVAL** 

3235-0287 Number:

Expires:

January 31, 2005

0.5

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if no longer subject to Section 16. Form 4 or Form 5

Check this box

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations

may continue. See Instruction

1(b).

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Last)

(City)

(Print or Type Responses)

1. Name and Address of Reporting Person \* **HICKS THOMAS O** 

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

CARPENTER TECHNOLOGY CORP [CRS]

(Check all applicable)

3. Date of Earliest Transaction

(Month/Day/Year) 09/25/2012

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

C/O CARPENTER TECHNOLOGY CORPORATION, PO BOX 14662

(State)

(First)

(Street) 4. If Amendment, Date Original

(Middle)

(Zip)

Filed(Month/Day/Year)

09/27/2012

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

READING, PA 19612

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Ownership Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial (Month/Day/Year) Direct (D) Ownership (Instr. 8) Owned or Indirect (Instr. 4) **Following** Reported (I)

(A) Transaction(s) (Instr. 4) or

(Instr. 3 and 4)

Price Code V Amount (D)

Common  $J^{(2)}$ 09/25/2012 750,003 D (2) 154,041 D Stock

Described in Common Explanation  $2,612,603 \stackrel{(1)}{=} I$ Stock of Responses

(1)(2)

SEC 1474

(9-02)

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

### Edgar Filing: HICKS THOMAS O - Form 4/A

### 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.	6. Date Exerc	cisable and	7. Titl	le and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionNumber		Expiration D	ate	Amou	ınt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	rlying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8) Derivative		;		Secur	ities	(Instr. 5)	Bene
	Derivative				Securities		(Ins				Own
	Security				Acquired						Follo
	·				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						`
					4, and 5)						
									Amount		
						Exercisable Date	Expiration	on Title	or		
							•		Number		
									of		
				Code V	(A) (D)				Shares		

X

## **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

HICKS THOMAS O C/O CARPENTER TECHNOLOGY CORPORATION PO BOX 14662 READING, PA 19612

# **Signatures**

K. Douglas

Ralph/POA 12/11/2012

\*\*Signature of Reporting 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) This amended Form 4 is being filed in its entirety to reflect the number of shares that were beneficially owned by the reporting person subsequent to the September 25, 2012 distribution.
- (2) See Below

### **Remarks:**

The reporting person is an affiliate of HHEP-Latrobe, L.P. ("HHEP-Latrobe"), which is an affiliate of Toolrock Investments, I 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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