Gates Katherine T Form 4 February 19, 2019

## FORM 4

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

Check this box

if no longer subject to Section 16.

Form 4 or Form 5 obligations may continue.

See Instruction

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)

**LISLE, IL 60532** 

1(b).

1. Name and Address of Reporting Person \*

Gates Katherine T

(Last) (First) (Middle)

1011 WARRENVILLE ROAD, STE. 02/14/2019 600

(Street)

(Ctota)

2. Issuer Name and Ticker or Trading Symbol

SunCoke Energy, Inc. [SXC]

3. Date of Earliest Transaction

(Month/Day/Year)

4. If Amendment, Date Original

Filed(Month/Day/Year)

**OMB APPROVAL** 

**OMB** Number:

3235-0287

Expires:

January 31, 2005

Estimated average burden hours per

response...

0.5

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner X\_ Officer (give title \_ Other (specify

below)

Sr VP & General Counsel

6. Individual or Joint/Group Filing(Check

Applicable Line)

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

Person

(City)	(State) (Z	Zip) Table	e I - Non-Do	erivative S	Securi	ities Acq	quired, Disposed o	of, or Beneficial	ly Owned
1.Title of Security (Instr. 3)		Transaction Date 2A. Deemed Execution Date, if any (Month/Day/Year)			ties A spose 4 and		5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code V	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		
Common Stock	02/14/2019		M	2,415	A	(1)	10,331	D	
Common Stock (2)	02/14/2019		F	708	D	\$ 9.61	9,623	D	
Common Stock	02/15/2019		M	1,929	A	<u>(1)</u>	11,552	D	
Common Stock (2)	02/15/2019		F	566	D	\$ 9.87	10,986	D	

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

#### Edgar Filing: Gates Katherine T - Form 4

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 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)	Transaction Code S (Instr. 8) A	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)	
				Code V (	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
RSU's (02.14.18)	<u>(1)</u>	02/14/2019		M	2,415	02/14/2019	02/14/2021	Common Stock	2,415
RSU's (02.15.17)	<u>(1)</u>	02/15/2019		M	1,929	02/15/2018	02/15/2020	Common Stock	1,929

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Gates Katherine T

1011 WARRENVILLE ROAD, STE. 600 LISLE, IL 60532 Sr VP & General Counsel

## **Signatures**

/s/ Rita M. Slager, attorney-in-fact 02/18/2019

\*\*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) Conversion rate is 1 for 1.
- (2) Shares withheld by Registrant to satisfy minimum statutory withholding requirements on vesting of restricted common stock units.
- (3) Grant of restricted share units awarded pursuant to the SunCoke Energy, Inc. Long-Term Performance Enhancement Plan in a transaction exempt under Rule 16b-3. The restricted share units vest in three equal annual installments on the first, second and third anniversary of

Reporting Owners 2

### Edgar Filing: Gates Katherine T - Form 4

the grant date.

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.