

Malloy Brian J  
Form 3  
October 17, 2018

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

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**INITIAL STATEMENT OF 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 \*

Malloy Brian J  
(Last) (First) (Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)  
10/09/2018

3. Issuer Name and Ticker or Trading Symbol

CARPENTER TECHNOLOGY CORP [CRS]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

Director  10% Owner

Officer  Other  
(give title below) (specify below)

VP - Chief Commercial Officer

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

CARPENTER TECHNOLOGY CORPORATION, 1735 MARKET STREET, 15TH FL

(Street)

PHILADELPHIA, PA 19103

(City) (State) (Zip)

**Table I - Non-Derivative Securities Beneficially Owned**

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Common Stock

21,785

D

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

SEC 1473 (7-02)

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**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and Expiration Date (Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

4. Conversion or Exercise Price of Derivative

5. Ownership Form of Derivative Security:

6. Nature of Indirect Beneficial Ownership (Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Options	08/03/2016	08/03/2025	Common Stock	2,210	\$ 36.82	D	Â
Employee Stock Options	08/03/2017	08/03/2025	Common Stock	2,210	\$ 36.82	D	Â
Employee Stock Options	08/03/2018	08/03/2025	Common Stock	2,210	\$ 36.82	D	Â
Employee Stock Options	08/01/2017	08/01/2026	Common Stock	1,925	\$ 39.02	D	Â
Employee Stock Options	08/01/2018	08/01/2026	Common Stock	1,925	\$ 39.02	D	Â
Employee Stock Options	08/01/2019	08/01/2026	Common Stock	1,924	\$ 39.02	D	Â
Employee Stock Options	08/01/2019	08/01/2026	Common Stock	56,981	\$ 39.02	D	Â
Employee Stock Options	07/31/2018	07/31/2027	Common Stock	1,835	\$ 40.43	D	Â
Employee Stock Options	07/31/2019	07/31/2027	Common Stock	1,835	\$ 40.43	D	Â
Employee Stock Options	07/31/2020	07/31/2027	Common Stock	1,835	\$ 40.43	D	Â
Employee Stock Options	08/06/2019	08/06/2028	Common Stock	1,426	\$ 58.94	D	Â
Employee Stock Options	08/06/2020	08/06/2028	Common Stock	1,425	\$ 58.94	D	Â
Employee Stock Options	08/06/2021	08/06/2028	Common Stock	1,425	\$ 58.94	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Malloy Brian J CARPENTER TECHNOLOGY CORPORATION 1735 MARKET STREET, 15TH FL PHILADELPHIA, PA 19103	Â	Â	Â VP - Chief Commercial Officer	Â

## Signatures

James D.  
Dee/POA

10/17/2018

\_\_Signature of  
Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 5(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).

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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