

Smith Hudson
Form 4
February 04, 2019

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 *
Smith Hudson

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)
01/31/2019

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

CLEVELAND, OH 44103

(City) (State) (Zip)

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

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 Indirect Beneficial Ownership (Instr. 4) |
|--|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount | (D) | Price |
| SIFCO Industries, Inc. Common Stock ⁽¹⁾ | 01/31/2019 | | A | | 10,893 | A | \$ 0 |
| Voting Trust Certificates ⁽²⁾ | | | | | 60,820 | | |
| SIFCO Industries, Inc. Common | | | | | 24,291 | | |

| | | | | |
|--------------------------------------|--|---------|---|----------------------|
| Stock | | | | |
| SIFCO Industries, Inc. Common stock | | 4,400 | I | Owned by Spouse |
| Voting Trust Certificates <u>(3)</u> | | 57,068 | I | Beneficiary of Trust |
| Voting Trust Certificates <u>(4)</u> | | 121,678 | I | Beneficiary of Trust |
| Voting Trust Certificates | | 6,255 | I | Owned by Spouse |

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 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) | 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 Bene Own Follow Repo Trans (Instr |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
| | | | | | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| | | | | Code | V (A) (D) | | | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Smith Hudson 970 E. 64TH STREET CLEVELAND, OH 44103 | X | | | |

Signatures

/s/ Elizabeth Button - by power of
attorney

02/04/2019

__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) Awarded 10,893 shares of the SIFCO Industries, Inc. common stock, which are restricted as of the date of the grant. Restriction to lapse on the day immediately preceding the one year anniversary date of this award.
- (2) Voting Trust Certificates are for common stock of SIFCO Industries, Inc.
- (3) Held in trust by Trustee of the Charles H. Smith, Jr. Irrevocable Trust.
- (4) Held in Trust by the Trustee of the R. Smith Irrevocable Trust.

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.