Stephens Scott F Form 4 March 08, 2013

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB APPROVAL

OMB Number: 3235-0287

Expires: January 31, 2005

0.5

Estimated average burden hours per response...

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

obligations

1(b).

may continue.

See Instruction

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 \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Stephens Scott F Issuer Symbol CASTLE A M & CO [CAS] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner X\_ Officer (give title ) \_ Other (specify 1420 KENSINGTON 03/06/2013 below) ROAD, SUITE 220 Vice President, CFO & Treas. (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year)

#### OAK BROOK, IL 60523

(City)	(State) (	Zip) Table	e I - Non-D	erivative	Secur	rities Acq	uired, Disposed o	f, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if any (Month/Day/Year)		3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)			d of (D)	Securities Form: Direct Beneficially (D) or Owned Indirect (I) Following (Instr. 4) Reported	Form: Direct (D) or Indirect (I)	p 7. Nature of t Indirect Beneficial Ownership (Instr. 4)
			Code V	Amount	or	Price	Transaction(s) (Instr. 3 and 4)		
Common Stock	03/06/2013		M	9,704 (2)	A	\$ 0	43,425 (1)	D	
Common Stock	03/06/2013		F	3,192	D	\$ 16.29	40,233	D	

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)

Applicable Line)

Person

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

### Edgar Filing: Stephens Scott F - Form 4

## 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. Transactio Code (Instr. 8)	5. Number of orDerivative 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
Performance Share Unit	<u>(3)</u>	03/06/2013		M		9,704	(3)	(3)	Common Stock	9,704
Restricted Stock Units	<u>(4)</u>	03/06/2013		A	9,600		<u>(5)</u>	<u>(5)</u>	Common Stock	9,600

## **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			

Stephens Scott F 1420 KENSINGTON ROAD SUITE 220 OAK BROOK, IL 60523

Vice President, CFO & Treas.

## **Signatures**

Robert J. Perna, Attorney-in-Fact

\*\*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) Amount of securities beneficially owned includes a total of 42.5 shares acquired on December 24, 2012, via Registrant's Employee Stock Purchase Plan.
- (2) Shares of common stock acquired pursuant to the payout of a performance share unit grant made on March 18, 2010 (the "PSU").
  - Each PSU represented a contingent right to receive a share of A.M. Castle & Co. common stock upon achievement of certain total
- (3) shareholder return ("TSR") performance goals set by the Human Resources Committee of the Board of Directors in 2010. The PSU paid out on March 6, 2013.
- (4) Each restricted stock unit represents a contingent right to receive one share of common stock of A.M. Castle & Co.
- (5) The restricted stock units vest in full on December 31, 2015, provided the reporting person is employed by A.M. Castle & Co. on the vesting 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.

Reporting Owners 2