

PLANT JOHN C
Form 4
March 07, 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
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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
PLANT JOHN C

(Last) (First) (Middle)

390 PARK AVENUE

(Street)

NEW YORK, NY 10022

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
Arconic Inc. [ARNC]

3. Date of Earliest Transaction
(Month/Day/Year)
03/05/2019

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

Chairman and CEO

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)
Common Stock					28,282 ⁽¹⁾	D	
Common Stock	03/05/2019		P ⁽²⁾	35,000 A	\$ 18.6509 ⁽³⁾	45,000 I	By Trust ⁽⁴⁾
Common Stock	03/06/2019		P ⁽²⁾	35,000 A	\$ 18.7037 ⁽⁵⁾	80,000 I	By Trust ⁽⁴⁾
Common Stock	03/07/2019		P ⁽²⁾	35,000 A	\$ 18.1612 ⁽⁶⁾	115,000 I	By Trust ⁽⁴⁾

Edgar Filing: PLANT JOHN C - Form 4

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 Follo Repor Trans (Instr
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
PLANT JOHN C 390 PARK AVENUE NEW YORK,, NY 10022	X		Chairman and CEO	

Signatures

/s/ Margaret Lam (Assistant Secretary), by power of attorney

03/07/2019

__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) The amount of securities beneficially owned reflects the forfeiture of 4,450 restricted stock units in connection with the reporting person's cessation of service as Non-Executive Chairman of Arconic Inc. and appointment as Chairman and Chief Executive Officer of Arconic Inc. The acquisition of these restricted stock units was previously reported in Table I of the reporting person's Form 4 on October 24, 2018.
- (2) The transactions reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person.
- (3) The price reported in column 4 is a weighted average price. The shares were purchased in multiple transactions at prices ranging from \$18.47 to \$18.75. The reporting person undertakes to provide to Arconic Inc., any security holder of Arconic Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each price within the range set forth in this footnote.

Edgar Filing: PLANT JOHN C - Form 4

- (4) Revocable living trust of which the reporting person is the trustee and beneficiary, with voting and investment power.

The price reported in column 4 is a weighted average price. The shares were purchased in multiple transactions at prices ranging from \$18.53 to \$18.94. The reporting person undertakes to provide to Arconic Inc., any security holder of Arconic Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each price within the range set forth in this footnote.

- (5)

The price reported in column 4 is a weighted average price. The shares were purchased in multiple transactions at prices ranging from \$18.03 to \$18.61. The reporting person undertakes to provide to Arconic Inc., any security holder of Arconic Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each price within the range set forth in this footnote.

- (6)

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.