

KNOPP RONALD E
Form 4
September 05, 2017

FORM 4

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

OMB APPROVAL

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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 *
KNOPP RONALD E

2. Issuer Name and Ticker or Trading Symbol
CASTLE A M & CO [CASLQ]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
1420 KENSINGTON ROAD, SUITE 220
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
08/31/2017

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
EVP & COO

OAK BROOK, IL 60523

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

(City) (State) (Zip)

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 (A) or Price (D) | | |
| Common Stock | 08/31/2017 | | J ⁽¹⁾ | | 11,152 ₍₂₎ | D | |
| Common Stock | 08/31/2017 | | J ⁽¹⁾ | | 8,941.53 ₍₂₎ | D | Retirement Account |
| Common Stock | 08/31/2017 | | A | | 320,861 ₍₃₎ | A | |
| Common Stock | 08/31/2017 | | A | | 137 ₍₄₎ | A | |
| Common Stock | 08/31/2017 | | A | | 110 ₍₄₎ ₍₅₎ | A | Retirement Account |

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- New shares of the Issuer's common stock, par value \$0.01 (the "New Shares"), were issued to the Reporting Person pursuant to the Plan in exchange for Old Common Stock held by the Reporting Person on the Effective Date under the Plan. The Reporting Person received
- (4) 0.1231 New Shares for every share of Old Common Stock held by the Reporting Person on the Effective Date. The receipt of New Shares was involuntary, without consideration and in accordance with the Plan approved by the Bankruptcy Court.
- (5) Represents New Shares held in the A.M. Castle & Co. 401(k) Plan.

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.