Edgar Filing: AMERICAN AXLE & MANUFACTURING HOLDINGS INC - Form 4

| Check this box if no longer subject to Section 16. SECURITIES SECURITIES AUXILIARY SECURITIES | | Laga i migi i | | | | 0 | | | | | |
|--|--|---|----------------|---|---|--------|---|--|--|-------------------------------------|--|
| Common 05/05/2016 State 323-020 Check this box if mo longer subject to Section 16 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES State January 3 State STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16 State State January 3 Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. See Instruction State State State Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Maxwold State State State (Print or Type Responses) 1. Name and Address of Reporting Person 1 2. Issuer Name and Ticker or Trading Symbol State State (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Other (give tille 10% Owner below) Other (specify below) DETROIT, MI 48211 (State) (Zip) Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned Scanting Person | Form 4 | | JFACTURIN | G HOLDING | S INC | | | | | | |
| Check this box if no longer subject to STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16. SECURITIES Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Section 17(a) of the Public Utility Holding Company Act of 1940 Itb). (Print or Type Responses) 1. Name and Address of Reporting Person [*] (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) ONE DAUCH DRIVE 05/05/2016 (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) DETROIT, MI 48211 (City) (State) (Zip) Table I - Non-Derivative Securities 2. Insuer framsaction (Month/Day/Year) DETROIT, MI 48211 (City) (State) (Zip) Table I - Non-Derivative Securities 5. Amount of Securities 5. Amount of S. Am | FORM | 1 4 | | | | | | | | PPROVAL | |
| if no longer subject to Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16. Expires: 200 Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 1(b). Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 Section 17(a) of the Public Utility Holding Company Act of 1940 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person 2. Symbol 2. Issuer Name and Ticker or Trading Symbol S. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) S. Relationship of Reporting Person(s) to Issuer ONE DAUCH DRIVE 05/05/2016 | | UNITED 5 | | | | | NGE (| COMMISSION | ONID | 3235-0287 | |
| Form 5 obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935, or Section 30(h) of the Investment Company Act of 1936, or Section 30(h) of the Investment Company Act of 1940 1(b). (Print or Type Responses) 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer I. Name and Address of Reporting Person 1 (b). 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer MERICAN AXLE & MANUFACTURING HOLDINGS INC [AXL] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 5. Individual or Joint/Group Filing(Check Applicable Line) ONE DAUCH DRIVE 05/05/2016 6. Individual or Joint/Group Filing(Check Applicable Line) (City) (State) (Zip) Table I - Non-Derivative Securities any 6. Nonership 7. Nature of Scurities Scurities Code 0. Sinposed of (D) Month/Day/Year) 3. 4. Scurities Scurities Scurities 6. Amership 7. Nature of Scurities Scurities Code V Amount (Instr. 3) 6. Ownership 7. Nature of Scurities Scurities 6. Ownership 7. Nature of Scurities Scurities Code V Amount (D) Price 6. Ownership 7. Nature of Scurities 6. Ownership 7. Nature of Scurities Code V Amount (D) Price (Instr. 4) (Instr. 3) 6 | Check this box if no longer subject to Section 16. SECURITIES | | | | | | | | Estimated a burden hou | urs per | |
| 1. Name and Address of Reporting Person - Kozyra William Lawrence 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer MARRICAN AXLE & MANUFACTURING HOLDINGS (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 3. Date of Earliest Transaction (Month/Day/Year) -X_Director ONE DAUCH DRIVE 05/05/2016 -X_Form filed by One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of Security 2. Transaction Date 2A. Deemed any (Month/Day/Year) 3. 4. Securities S. A mount of Securities Indirect Beneficially (D) or Beneficially (Instr. 4) (Instr. 3) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Indirect (Instr. 4) (A) or Code V Amount (D) Priced (Instr. 4) (Instr. 4) | obligation may conti <i>See</i> Instru | inue. Section 17(a |) of the Publi | c Utility Holdi | ing Com | pany | Act o | f 1935 or Sectio | · | | |
| Kozyra William Lawrence Symbol Issuer AMERICAN AXLE & MANUFACTURING HOLDINGS INC [AXL] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) (Check all applicable) ONE DAUCH DRIVE 05/05/2016 | (Print or Type R | Responses) | | | | | | | | | |
| MANUFACTURING HOLDINGS (Check all applicable) INC [AXL] INC [AXL] 3. Date of Earliest Transaction (Month/Day/Year) -X_Director below) | | | Sym | bol | | Fradin | g | • | f Reporting Per | son(s) to | |
| (Last) (Madde) 3. Date of Earliest Transaction below) below) below) ONE DAUCH DRIVE 05/05/2016 6. Individual or Joint/Group Filing(Check (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check DETROIT, MI 48211 Filed(Month/Day/Year) Applicable Line) (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year) (Instr. 8) (Instr. 3) (Month/Day/Year) (Instr. 8) (Instr. 3) (Month/Day/Year) (Instr. 8) (Instr. 3) (Month/Day/Year) (Instr. 3) (Month/Day/Year) Code Disposed of (D) Beneficially (D) or Beneficiall (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 3) (Instr. 4) (Instr. 4) <t< td=""><td></td><td colspan="4">ANUFACTURING HOLDINGS</td><td colspan="4"></td></t<> | | ANUFACTURING HOLDINGS | | | | | | | | | |
| Filed(Month/Day/Year) Applicable Line) X_ Form filed by 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 3. 4. Securities 5. Amount of Security 6. Ownership Form: Direct 7. Nature of Indirect (Instr. 3) (Month/Day/Year) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Indirect (I) Ownership Following 7. Nature of Form: Direct Code V Amount (D) Price Indirect (I) Ownership Following Indirect (I) Ownership Following Common 05/05/2016 A 7.349 A S 0 11 361 D | (Month/ | | | fonth/Day/Year) | | | | | | | |
| DETROIT, MI 48211 Person Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of Security 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Instr. 3) (Month/Day/Year) Execution Date, if any 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of (Instr. 3) (Month/Day/Year) Execution Date, if any (Instr. 8) (Instr. 3, 4 and 5) Owned Indirect (I) Ownership (Month/Day/Year) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Indirect (I) Ownership Code V Amount (D) Price (Instr. 4) (Instr. 4) (A) Transaction(s) or (Instr. 3 and 4) (Instr. 3 and 4) D Common 05/05/2016 A 7,349 A \$0 11 361 D | | | | | | | Applicable Line) _X_Form filed by One Reporting Person | | | | |
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| Security (Instr. 3) (Month/Day/Year) Execution Date, if any TransactionAcquired (A) or Code Securities Form: Direct Indirect (Instr. 3) any (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Securities Beneficially Indirect (I) Ownership (Month/Day/Year) (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Indirect (I) Ownership (A) or (A) or (Instr. 3 and 4) (Instr. 3 and 4) (Instr. 3 and 4) Common 05/05/2016 A 7,349 A \$0 11 361 D | (City) | (State) (2 | Zip) | Table I - Non-De | erivative S | ecuri | ties Ac | quired, Disposed of | f, or Beneficial | lly Owned | |
| | Security | urity (Month/Day/Year) Execution Date, if tr. 3) any | | te, if Transactio Code Year) (Instr. 8) | TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5) (A) or | | | Securities Beneficially Owned Following Reported Transaction(s) | Form: Direct (D) or Indirect (I) | Indirect Beneficial Ownership | |
| | | 05/05/2016 | | А | | А | \$0 | 11,361 | 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.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
 (e.g., puts, calls, warrants, options, convertible securities)

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| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 4. Transactic Code (Instr. 8) | 5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | ate | Amou Under Secur | le and int of rlying ities . 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secu Bene Own Follo Repo 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 | | | |
| Kozyra William Lawrence ONE DAUCH DRIVE DETROIT, MI 48211 | Х | | | | | | |
| Signatures | | | | | | | |
| /s/ Laura L. Douglas, attorney in fact | | 05/09/201 | 6 | | | | |

**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) These shares represent an award of restricted stock units (RSUs) that will be settled in common stock upon vesting. The RSUs will vest on the one-year anniversary of the date of grant.

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.