

CARTER JOHN D
Form 4
July 11, 2018

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 *
CARTER JOHN D

2. Issuer Name **and** Ticker or Trading
Symbol
SCHNITZER STEEL INDUSTRIES
INC [SCHN]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
299 SW CLAY STREET, SUITE
350

3. Date of Earliest Transaction
(Month/Day/Year)
07/10/2018

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

(Street)

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

PORTLAND, OR 97201

(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 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 (D)	Price
Class A Common Stock	07/10/2018		S		13,676	D	\$ 37.02 (1)
Class A Common Stock							1,500
							I
							By Trust (2)
Class A Common Stock							4,000
							I
							By Trust (3)
Class A							10,000
							I
							By Trust

Edgar Filing: CARTER JOHN D - Form 4

Common Stock				(4)
Class A Common Stock	10,000	I	By Trust	(5)
Class A Common Stock	10,000	I	By Trust	(6)
Class A Common Stock	2,436	I	By Trust	(7)
Class A Common Stock	10,000	I	By Trust	(8)
Class A Common Stock	10,000	I	By Trust	(9)
Class A Common Stock	10,000	I	By Trust	(10)

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. Number of Derivative Securities Beneficially Owned Following Reportable Transaction (Instr. 6)
				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
CARTER JOHN D 299 SW CLAY STREET SUITE 350 PORTLAND, OR 97201	X			

Signatures

Joseph J. Bradley, Attorney-in-Fact	07/11/2018
<u> </u> 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) This transaction was executed in multiple trades on reported date with prices ranging from \$36.60 - \$37.35, resulting in an average price of \$37.02. Schnitzer Steel Industries, Inc. ("Issuer") will provide upon request by the Commission staff or a security holder of the Issuer full information regarding the number of shares purchased or sold at each separate price.
- (2) Shares are held by John D. Carter, Trustee of the Carter 1996 Children's Trust fbo Christopher L. Carter.
- (3) Shares are held by John D. Carter, Trustee of the Carter 1996 Children's Trust fbo Douglas M. Carter.
- (4) Shares are held by John D. Carter, Trustee of the John D. Carter 2012 Trust fbo Douglas M. Carter.
- (5) Shares are held by 2011 Carter Children's Trust, between John D. Carter and Linda L. Carter as Trustors and John D. Carter as Trustee dated December 14, 2011 fbo Courtney Carter Charney.
- (6) Shares are held by 2011 Carter Children's Trust, between John D. Carter and Linda L. Carter as Trustors and John D. Carter as Trustee dated December 14, 2011 fbo Christopher L. Carter.
- (7) Shares are held by John D. Carter, Trustee of the John D. Carter 2011 Trust.
- (8) Shares are held by John D. Carter, Trustee of the John D. Carter 2012 Trust fbo Christopher L. Carter.
- (9) Shares are held by John D. Carter, Trustee of the John D. Carter 2012 Trust fbo Courtney Carter Charney.
- (10) Shares are held by 2011 Carter Children's Trust, between John D. Carter and Linda L. Carter as Trustors and John D. Carter as Trustee dated December 14, 2011 fbo Douglas M. Carter.

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.