## Edgar Filing: ASTEC INDUSTRIES INC - Form 4

ASTEC INDU Form 4 July 09, 2013 <b>FORM</b> Check this R if no longer subject to Section 16. Form 4 or Form 5 obligations may continu <i>See</i> Instruct 1(b).	4 UNITED S box STATEMI Filed pursu Section 17(a)	Wa ENT OF CHAN uant to Section 1 ) of the Public U	RITIES AND EXCHANGE shington, D.C. 20549 NGES IN BENEFICIAL OV SECURITIES (6(a) of the Securities Exchan tility Holding Company Act of 19	VNERSHIP OF age Act of 1934, of 1935 or Sectio	OMB Number: Expires: Estimated burden ho response.	urs per	
(Print or Type Res	sponses)						
1. Name and Address of Reporting Person <u>*</u> BROCK J DON		Symbol	er Name <b>and</b> Ticker or Trading	5. Relationship of Reporting Person(s) to Issuer			
(Last)	(First) (Mi		f Earliest Transaction	(Check all applicable)			
4101 JEROME AVE		(Month/I 07/05/2	Day/Year) 2013	_X_ Director10% Owner _X_ Officer (give titleOther (specify below)Other (specify Other (specify			
			endment, Date Original nth/Day/Year)	6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person			
CHATTANOOGA, TN 37407 Form filed by More than One Reporting Person							
(City)	(State) (Z	Zip) Tab	le I - Non-Derivative Securities A	cquired, Disposed o	of, or Beneficia	ally Owned	
	2. Transaction Date (Month/Day/Year)		3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5) (A) or Code V Amount (D) Price	Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		
Common Stock					I	Residuary Trust	
Common Stock				36,351 <u>(1)</u>	D		
Common Stock				2,069,117	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

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#### number.

# 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 iorDerivative 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
Phantom Stock	<u>(2)</u>	07/05/2013		А	416.1049 (2)		(2)	(2)	Common Stock	416.1049 (2)

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
Reporting Owner Funter Fundetess	Director	10% Owner	Officer	Other		
BROCK J DON						
4101 JEROME AVE	Х		CEO			
CHATTANOOGA, TN 37407						
Signatures						
Robert Taylor, attorney in fact for J. Don Brock			07/09/2013			
**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) Reflects restricted stock units (RSUs) that convert to common stock on a one-for-one basis at a later date.
- Reported transaction represents the Company's quarterly contribution to the reporting person's SERP account that was used to acquire(2) Astec stock. Phantom shares are held in a SERP and are payable in cash following the reporting person's termination of employment from Astec.

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.