#### ASTEC INDUSTRIES INC

Form 4 July 09, 2014

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

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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

1(b).

(Print or Type Responses)

may continue.

See Instruction

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading RICHMOND JEFFREY L Issuer Symbol ASTEC INDUSTRIES INC [ASTE] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner X\_ Officer (give title Other (specify 1725 SHEPHERD RD 05/29/2014 below) President-Roadtec (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting CHATTANOOGA, TN 37421 (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

		Table 1 - Non-Derivative Securities Acquired, Disposed of, of Beneficially Owned							
1.Title of Security	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if	3. 4. Securities TransactionAcquired (A) or		5. Amount of Securities	6. Ownership Form: Direct	7. Nature of Indirect		
(Instr. 3)	(Wionar Bay, Tear)	any	Code	Disposed	of (D)	Beneficially	(D) or	Beneficial	
		(Month/Day/Year)	(Instr. 8)	(Instr. 3,	4 and 5)	Owned Following Reported	Indirect (I) (Instr. 4)	Ownership (Instr. 4)	
			Code V	Amount	(A) or (D) Price	Transaction(s) (Instr. 3 and 4)			
Common Stock						8,062 (1)	D		
Common Stock						1,295	D		

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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# 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 or Derivative Securities Acquired (A) Disposed of (I (Instr. 3, 4, and 5)	Expiration D (Month/Day/ or D)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (I	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock	<u>(3)</u>	05/29/2014		A	6.8828	<u>(3)</u>	(3)	Common Stock	6.8828	
Phantom Stock	<u>(2)</u>	07/08/2014		A	124.705	(2)	(2)	Common Stock	124.705 (2)	\$

# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

RICHMOND JEFFREY L 1725 SHEPHERD RD CHATTANOOGA, TN 37421

President-Roadtec

## **Signatures**

Robert Taylor, attorney in fact for Jeffrey L. Richmond

07/09/2014

\*\*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) Holdings are restricted stock units (RSUs) that convert to common stock on a one-for-one basis at a later date.
- (2) Reported transaction represents the Company's quarterly contribution to reporting person's SERP account that was used to acquire Astec stock. Phantom shares are held in a SERP and are payable in cash following the reporting person's termination of employment with Astec.
- Transaction represents the automatic reinvestment of a cash dividend on phantom stock held in the reporting person's SERP account as approved by the Company's Board of Directors. 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.

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