Smith John F. Form 4 May 07, 2018

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** 

OMB 3235-0287 Number:

January 31, Expires: 2005

Estimated average burden hours per

response... 0.5

if no longer subject to Section 16. Form 4 or Form 5

Check this box

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Smith John F.

2. Issuer Name and Ticker or Trading

Symbol

AMERICAN AXLE & MANUFACTURING HOLDINGS

INC [AXL]

(Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year)

ONE DAUCH DRIVE

(Zip)

(Street)

Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

X\_ Director 10% Owner Officer (give title Other (specify below)

05/03/2018

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

DETROIT, MI 48211-1198

(City)

Common

Stock

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3)

(State)

05/03/2018

(Month/Day/Year)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5)

5. Amount of Securities Beneficially Owned Following Reported

6. Ownership 7. Nature of Form: Direct (D) or Indirect (I) (Instr. 4)

D

Indirect Beneficial Ownership (Instr. 4)

(A) Transaction(s) or (Instr. 3 and 4) (D) Price

Code V Amount

Α (1)

\$0 54,057

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)

#### Edgar Filing: Smith John F. - Form 4

| 1. Title of | 2.          | 3. Transaction Date |                    | 4.         | 5.         | 6. Date Exerc |            | 7. Titl |          | 8. Price of | 9. Nu  |
|-------------|-------------|---------------------|--------------------|------------|------------|---------------|------------|---------|----------|-------------|--------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | Transacti  | orNumber   | Expiration D  | ate        | Amou    | int of   | Derivative  | Deriv  |
| Security    | or Exercise |                     | any                | Code       | of         | (Month/Day/   | Year)      | Under   | lying    | Security    | Secui  |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8) | Derivative | e             |            | Securi  | ities    | (Instr. 5)  | Bene   |
|             | Derivative  |                     | •                  |            | Securities |               |            | (Instr. | 3 and 4) |             | Owne   |
|             | Security    |                     |                    |            | Acquired   |               |            |         |          |             | Follo  |
|             |             |                     |                    |            | (A) or     |               |            |         |          |             | Repo   |
|             |             |                     |                    |            | Disposed   |               |            |         |          |             | Trans  |
|             |             |                     |                    |            | of (D)     |               |            |         |          |             | (Instr |
|             |             |                     |                    |            | (Instr. 3, |               |            |         |          |             | (      |
|             |             |                     |                    |            | 4, and 5)  |               |            |         |          |             |        |
|             |             |                     |                    |            | .,         |               |            |         |          |             |        |
|             |             |                     |                    |            |            |               |            |         | Amount   |             |        |
|             |             |                     |                    |            |            | Date          | Expiration |         | or       |             |        |
|             |             |                     |                    |            |            | Exercisable   | Date       | Title N | Number   |             |        |
|             |             |                     |                    |            |            |               |            |         | of       |             |        |
|             |             |                     |                    | Code V     | (A) (D)    |               |            |         | Shares   |             |        |

# **Reporting Owners**

| Reporting Owner Name / Address | Relationships |           |         |       |  |  |  |
|--------------------------------|---------------|-----------|---------|-------|--|--|--|
|                                | Director      | 10% Owner | Officer | Other |  |  |  |
| Smith John F.                  |               |           |         |       |  |  |  |
| ONE DAUCH DRIVE                | X             |           |         |       |  |  |  |
| DETROIT, MI 48211-1198         |               |           |         |       |  |  |  |

## **Signatures**

/s/ Laura L. Douglas, attorney o5/07/2018 in fact

\*\*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.

Reporting Owners 2