**BALL CORP** Form 4 September 16, 2016

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

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**OMB APPROVAL** 

response...

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

obligations

Check this box

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

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 \* Barker Shawn M

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

BALL CORP [BLL]

(Check all applicable)

(First) (Middle) (Last)

3. Date of Earliest Transaction

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

(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

09/15/2016

Vice President & Controller

4. If Amendment, Date Original

Filed(Month/Day/Year) Applicable Line)

\_X\_ Form filed by One Reporting Person

Form filed by More than One Reporting Person

below)

**BROOMFIELD, CO 80021** 

10 LONGS PEAK DRIVE

(City) (State) (Zip)

(Street)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

(Month/Day/Year)

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

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial (T)

Ownership (Instr. 4) (Instr. 4)

(A)

Reported Transaction(s)

(Instr. 3 and 4) Code V Amount (D) Price

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)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)

1. Title of 3. Transaction Date 3A. Deemed 4. 5. Number of 6. Date Exercisable and 7. Title and Amount of Derivative Conversion (Month/Day/Year) Execution Date, if **Transaction**Derivative **Expiration Date** Underlying Securities Security or Exercise any Code Securities (Month/Day/Year) (Instr. 3 and 4)

### Edgar Filing: BALL CORP - Form 4

| (Instr. 3)  | Price of<br>Derivative<br>Security |            | (Month/Day/Year) | (Instr.      | 8) | Acquired (A Disposed of (Instr. 3, 4, 5) | f (D) |                     |                    |                 |                          |
|---|------------------------------------|------------|------------------|--------------|----|--|-------|---------------------|--------------------|-----------------|--------------------------|
|   |                                    |            |                  | Code         | V  | (A)                                      | (D)   | Date<br>Exercisable | Expiration<br>Date | Title           | Amoun<br>Numbe<br>Shares |
| Restricted<br>Stock Units                         | (1)                                | 09/15/2016 |                  | A(2)         |    | 8,000                                    |       | (2)                 | (2)                | Common<br>Stock | 8,00                     |
| Deferred<br>Compensation<br>Company<br>Stock Plan | (3)                                | 09/15/2016 |                  | J <u>(4)</u> |    | 50.7876                                  |       | <u>(5)</u>          | <u>(5)</u>         | Common<br>Stock | 50.78                    |

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Barker Shawn M 10 LONGS PEAK DRIVE BROOMFIELD, CO 80021

Vice President & Controller

# **Signatures**

/s/ Janice L. Rodriguez, attorney-in-fact for Mr. Barker

09/16/2016

\*\*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) Each restricted stock unit represents a contingent right to receive one share of Ball Corporation Common Stock.
- (2) Restricted Units awarded under the Ball Corporation Deposit Share Program.
- (3) Each unit may be settled for a single share of stock or the equivalent amount of cash pursuant to the Ball Corporation Deferred Compensation Company Stock Plan.
- (4) Dividend reinvestment in Ball Corporation's Deferred Compensation Company Stock Plan.
- (5) Stock Units in the Ball Corporation's Deferred Compensation Company Stock Plan are distributed upon the separation of service in accordance with the Plan.

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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