## SEC Form 4

# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 OMB APPROVAL
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1. Name and Address of Reporting Person* PLANT JOHN C (Last) (First) (Middle) 390 PARK AVENUE (Street)			2. Issuer Name <b>and</b> Ticker or Trading Symbol Arconic Inc. [ ARNC ]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner				
PLANT JOHN (Last) 390 PARK AVEN (Street)	( )	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 08/05/2019	X	Officer (give title below) Chairman and C	Other (specify below) CEO			
( )	NY (State)	10022 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	idual or Joint/Group Filing ( Form filed by One Report Form filed by More than C Person	ing Person			

#### 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. Transa Code ( 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	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	Transaction(s) (Instr. 3 and 4)		(1150. 4)

### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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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. Transa Code ( 8)		5. Number Derivativ Securitie Acquired or Dispos of (D) (In 3, 4 and 5	e s I (A) sed str.	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Restricted Stock Unit	(1)	08/05/2019		A		400,000		(2)	(2)	Common Stock	400,000	\$ <mark>0</mark>	400,000	D	
Restricted Stock Unit	(1)	08/05/2019		A		50,000		(3)	(3)	Common Stock	50,000	\$ <mark>0</mark>	50,000	D	
Restricted Stock Unit	(1)	08/05/2019		A		50,000		(4)	(4)	Common Stock	50,000	\$0	50,000	D	
Restricted Stock Unit	(1)	08/05/2019		A		50,000		(5)	(5)	Common Stock	50,000	\$0	50,000	D	
Restricted Stock Unit	(1)	08/05/2019		A		50,000		(6)	(6)	Common Stock	50,000	\$0	50,000	D	

#### Explanation of Responses:

1. Each restricted stock unit represents a contingent right to receive one share of common stock of Arconic Inc. ("Arconic") or, at Arconic's election, cash equivalent to the fair market value thereof.

2. These restricted stock units generally vest on August 6, 2020, contingent on Mr. Plant's continued employment as Chief Executive Officer or as Advisor to Arconic through such date and subject to partial or full accelerated vesting upon the occurrence of certain events. Vested restricted stock units will be settled in shares or cash, as applicable, within 30 days following the vesting date.

3. These restricted stock units generally vest on August 6, 2020 if the Spinoff Date (as defined in the Letter Agreement, by and between Arconic and John C. Plant, dated as of August 1, 2019 (the "Letter Agreement")) has occurred prior to August 6, 2020, contingent on Mr. Plant's continued employment as Chief Executive Officer or as Advisor to Arconic through August 6, 2020, and subject to partial or full accelerated vesting upon the occurrence of certain events. Vested restricted stock units will be settled in shares or cash, as applicable, within 30 days following the vesting date.

4. These restricted stock units generally vest on the later of August 6, 2020 and the date Arconic's common stock achieves an Average Price (as defined in the Letter Agreement) of \$32 per share, subject to achievement of such Average Price no later than August 6, 2021, contingent on Mr. Plant's continued employment as Chief Executive Officer or as Advisor to Arconic through August 6, 2020, and subject to partial or full accelerated vesting upon the occurrence of certain events. Vested restricted stock units will be settled in shares or cash, as applicable, within 30 days following the vesting date.

5. These restricted stock units generally vest on the later of August 6, 2020 and the date Arconic's common stock achieves an Average Price (as defined in the Letter Agreement) of \$34 per share, subject to achievement of such Average Price no later than August 6, 2021, contingent on Mr. Plant's continued employment as Chief Executive Officer or as Advisor to Arconic through August 6, 2020, and subject to partial or full accelerated vesting upon the occurrence of certain events. Vested restricted stock units will be settled in shares or cash, as applicable, within 30 days following the vesting date.

6. These restricted stock units generally vest on the later of August 6, 2020 and the date Arconic's common stock achieves an Average Price (as defined in the Letter Agreement) of \$36 per share, subject to achievement of such Average Price no later than August 6, 2021, contingent on Mr. Plant's continued employment as Chief Executive Officer or as Advisor to Arconic through August 6, 2020, and subject to partial or full accelerated vesting upon the occurrence of certain events. Vested restricted stock units will be settled in shares or cash, as applicable, within 30 days following the vesting date.

Remarks:

/s/ Margaret Lam (Assistant

<u>Secretary), by power of attorney</u> \*\* Signature of Reporting Person Date

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

\* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).