SEC Form 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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FORM 4

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person* <u>PLANT JOHN C</u>					uer Name and Tick wmet Aerospa					5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner					
(Last) 201 ISABELLA SUITE 200	(First)	(Middle)		3. Date of Earliest Transaction (Month/Day/Year) 08/06/2020							Officer (give title below)		(specify		
(Street) PITTSBURGH	PA (State)	15212 (Zip)		4. If Amendment, Date of Original Filed (Month/Day/Year)							Individual or Joint/Group Filing (Check Applicable e) X Form filed by One Reporting Person Form filed by More than One Reporting Person				
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned															
1. Title of Security (Instr. 3) Date (Month/Da				Execution Date, Transac			4. Securities A Disposed Of (I			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)		
Common Stock		08/06/20	020		М		608,332	A	\$17.28(1)	1,028,600	D				

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)											
Common Stock								500,463	Ι	By Trust ⁽³⁾	
Common Stock	08/06/2020		F		256,260 ⁽²⁾	D	\$17.28	772,340	D		

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)		Derivative		6. Date Exerc Expiration Da (Month/Day/\	ate	7. Title an of Securit Underlyin Derivative (Instr. 3 ar	ies g Security	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 ⁽⁴⁾	(1)	08/06/2020		м			486,666	(4)	(4)	Common Stock	486,666	\$0.0	3,828,332	D	
Restricted Stock Unit ⁽⁵⁾	(1)	08/06/2020		м			60,833	(5)	(5)	Common Stock	60,833	\$0	3,767,499	D	
Restricted Stock Unit ⁽⁶⁾	(1)	08/06/2020		м			60,833	(6)	(6)	Common Stock	60,833	\$0.0	3,706,666	D	

Explanation of Responses:

1. Each restricted stock unit converted into common stock on a one-for-one basis.

2. Represents payment of tax liability by delivering or withholding shares incident to the vesting of a stock award issued in accordance with Rule 16b-3.

3. Shares held in grantor retained annuity trusts (GRATS), each of which the reporting person is the trustee and beneficiary.

4. These restricted stock units vested on August 6, 2020, upon satisfaction of the condition of the continued employment of Mr. Plant as Chief Executive Officer of Howmet Aerospace Inc. (Howmet) through such date.

5. These restricted stock units vested on August 6, 2020, upon satisfaction of the conditions that the Spinoff Date (as defined in the Letter Agreement, by and between Howmet and Mr. Plant, dated as of August 1, 2019 (the Letter Agreement) has occurred prior to August 6, 2020, and the continued employment of Mr. Plant as Chief Executive Officer of Howmet through such date.

6. These restricted stock units vested on August 6, 2020, upon satisfaction of the conditions that Howmet's common stock achieve an Average Price (as defined in the Letter Agreement and, to take into account the separation of the Company, as set forth in the Employee Matters Agreement, dated as of March 31, 2020, by and between Howmet and Arconic Corporation) of \$32 per share, and the continued employment of Mr. Plant as Chief Executive Officer of Howmet through such date.

Remarks:

/s/ Margaret Lam (Assistant

08/10/2020

Secretary), by power of attorney ** 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.

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