Carey Nate C Form 3 December 05, 2017

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement BALL Corp [BLL] Carey Nate C (Month/Day/Year) 11/27/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 10 LONGS PEAK DRIVE (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director \_X\_ Form filed by One Reporting \_X\_\_ Officer Other Person (give title below) (specify below) BROOMFIELD, Â COÂ 80021 Form filed by More than One Vice President & Controller Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 4. Nature of Indirect Beneficial (Instr. 4) Beneficially Owned Ownership Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) 401K  $D^{(1)}$ Â 447.389 Â Common Stock 7,661.8334 D Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

currently valid OMB control number.

3. Title and Amount of 6. Nature of Indirect 1. Title of Derivative Security 2. Date Exercisable and 5. (Instr. 4) **Expiration Date** Securities Underlying Conversion Ownership Beneficial (Month/Day/Year) **Derivative Security** or Exercise Form of Ownership (Instr. 4) Price of Derivative (Instr. 5) Derivative Security:

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	02/04/2016	02/04/2025	Common Stock	6,800	\$ 33.075	D	Â
Stock Option (Right to Buy)	01/27/2017	01/27/2026	Common Stock	6,800	\$ 33.05	D	Â
Stock Option (Right to Buy)	04/26/2018	04/26/2027	Common Stock	6,940	\$ 37.585	D	Â
Restricted Stock Units	(2)	(3)	Common Stock	11,866	\$ <u>(3)</u>	D	Â

### **Reporting Owners**

Reporting Owner Name / Address	Relationships					
. Programme and an amount	Director	10% Owner	Officer	Other		
Carey Nate C 10 LONGS PEAK DRIVE BROOMFIELD, CO 80021	Â	Â	Vice President & Controller	Â		

#### **Signatures**

/s/ Janice L. Rodriguez, attorney-in-fact for Mr.
Carey 12/05/2017

\*\*Signature of Reporting Person Date

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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) Total number of 401(k) Plan shares acquired through periodic dividend reinvestment, participant's contributions and employer matching contributions.
- (2) Each restricted stock unit represents a contingent right to receive one share of Ball Corporation Common Stock.
- (3) Restricted Stock Units awarded under the Ball Corporation Stock and Cash Incentive 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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