SEC Form 4

**FORM 4**

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

**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

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

| 1. Name and Address of Reporting Person* <br><br> Knobel Jeff A <br><br> (Last)  (First)  (Middle) <br> 10 LONGS PEAK DRIVE <br><br> (Street) <br> BROOMFIELD   CO    80005 <br><br> (City)  (State)  (Zip) | 2. Issuer Name **and** Ticker or Trading Symbol <br> BALL Corp [ BLL ] <br><br> 3. Date of Earliest Transaction (Month/Day/Year) <br> 09/15/2018 <br><br> 4. If Amendment, Date of Original Filed (Month/Day/Year) | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) <br> Director ___ 10% Owner <br> X Officer (give title below) ___ Other (specify below) <br> Vice President & Treasurer <br><br> 6. Individual or Joint/Group Filing (Check Applicable Line) <br> X Form filed by One Reporting Person <br> ___ 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) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | | 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) | | | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 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 | | | |
| Common Stock | 09/15/2018 | | M[1] | | 3,942 | A | $44.14 | 76,392.8346 | D | |
| Common Stock | 09/15/2018 | | F[2] | | 1,143 | D | $44.14 | 75,249.8346 | D | |
| Common Stock | | | | | | | | 3,141.5041 | I | 401K[3] |

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

| 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. Transaction Code (Instr. 8) | | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | 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 Transaction(s) (Instr. 4) | 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 | | | | |
| Restricted Stock Units | [4] | 09/15/2018 | | M | | | 3,942 | [5] | [5] | Common Stock | 3,942 | $0.00 | 36,737 | D | |

**Explanation of Responses:**

1. Common stock acquired upon the lapse of Table II Restricted Stock Units based on the applicable Ball Corporation Stock and Cash Incentive Plan performance factor and in accordance with the provisions of said Plan.
2. Shares withheld for the payment of the tax obligation on the lapse of restrictions on Table II Performance Contingent Restricted Stock.
3. Total number of 401(k) Plan shares acquired through periodic dividend reinvestment, participant's contributions and employer matching contributions.
4. Each restricted stock unit represents a contingent right to receive one share of Ball Corporation Common Stock.
5. Lapse of restricted stock units.

**Remarks:**

/s/ Charles E. Baker, Attorney-in-Fact for Mr. Knobel        09/18/2018

** 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.**