

SIMPSON MICHAEL
Form 5
February 14, 2007

FORM 5

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

Check this box if
no longer subject
to Section 16.
Form 4 or Form
5 obligations
may continue.
See Instruction
1(b).
Form 3 Holdings
Reported
Form 4
Transactions
Reported

**ANNUAL STATEMENT OF CHANGES IN BENEFICIAL
OWNERSHIP OF SECURITIES**

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
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
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1. Name and Address of Reporting Person *
SIMPSON MICHAEL

(Last) (First) (Middle)

3400 NORTH WOLF ROAD

(Street)

2. Issuer Name **and** Ticker or Trading
Symbol
CASTLE A M & CO [CAS]

3. Statement for Issuer's Fiscal Year Ended
(Month/Day/Year)
12/31/2007

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer (give title ☐ Other (specify
below) below)

6. Individual or Joint/Group Reporting

(check applicable line)

FRANKLIN PARK, IL 60131

☒ Form Filed by One Reporting Person
☐ Form Filed by More than One Reporting
Person

(City) (State) (Zip)

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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	06/01/2006	04/25/2007	A	1,773 A Amount (D) Price \$ 28.2	1,773	D	Â
Common Stock	Â	Â	Â	Â Â Â	10,546 ⁽¹⁾	I	Note 1
Preferred Stock	Â	Â	Â	Â Â Â	500	I	Note 1
Common Stock	Â	Â	Â	Â Â Â	22,781 ⁽²⁾	I	Note 2
	Â	Â	Â	Â Â Â	375	I	Note 2

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Preferred
Stock

Common Stock	Â	Â	Â	Â	Â	Â	262,433 ⁽³⁾	I	Note 3
Common Stock	Â	Â	Â	Â	Â	Â	20,992 ⁽⁴⁾	I	Note 4
Common Stock	Â	Â	Â	Â	Â	Â	249,368 ⁽⁵⁾ ⁽⁶⁾	I	Note 5
Preferred Stock	Â	Â	Â	Â	Â	Â	100	I	Note 5

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

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(9-02)

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 Underlying Securities (Instr. 3 and 4)	8. Amount or Number of Shares
Stock Options (Right to buy)	\$ 7.05	Â	Â	Â	Â Â	10/04/2003 10/04/2012	Common Stock	6,000
Stock Options (Right to buy)	\$ 8.52	Â	Â	Â	Â Â	06/01/2005 06/01/2014	Common Stock	7,500
Stock Options (Right to buy)	\$ 10	Â	Â	Â	Â Â	07/27/2001 07/27/2010	Common Stock	10,000
Stock Options (Right to buy)	\$ 10.35	Â	Â	Â	Â Â	06/03/2003 06/03/2012	Common Stock	5,000

Stock Options (Right to buy)	\$ 11	Â	Â	Â	Â	Â	07/26/2002	07/26/2011	Common Stock	10,000
Stock Options (Right to buy)	\$ 14.22	Â	Â	Â	Â	Â	07/01/2006	07/01/2015	Common Stock	7,500

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SIMPSON MICHAEL 3400 NORTH WOLF ROAD FRANKLIN PARK, IL 60131	Â X	Â	Â	Â

Signatures

Jerry M. Aufox 02/14/2007

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).

(5) Note 5 - Beneficiary under Trust dated 12/19/80, Patrick J. Herbert, III, Trustee (stock acquired by Trust)

(3) Note 3 - Beneficiary under Trust dated 07/26/1972 United States Trust Co., and Patrick J. Herbert, III, Trustee

(6) Note 5 - Beneficiary under Trust dated 12/19/80, Patrick J. Herbert, III, Trustee (stock acquired by Trust)

(4) Note 4 - Beneficiary under Trust dated 12/23/1976 Northern Trust Co., Trustee

(2) Note 2 - Beneficiary under Trust dated 07/24/1968 United States Trust Co., Trustee

(1) Note 1 - Beneficiary under Trust dated 12/07/1949 United States Trust Co., Trustee

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.