Hotchkiss Herbert Form 3 March 29, 2019

# FORM 3

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

**OMB APPROVAL** 

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INITIAL STATEMENT OF 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

(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 CHART INDUSTRIES INC [GTLS] À Hotchkiss Herbert (Month/Day/Year) 03/26/2019 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 3055 TORRINGTON 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 BALL GROUND, Â GAÂ 30107 (give title below) (specify below) Form filed by More than One VP, GC and Secretary Reporting Person (City) (State) (Zip) **Table I - Non-Derivative Securities Beneficially Owned** 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership (Instr. 4) Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) D Â Common stock, par value \$0.01 per share  $2,510^{(1)}$ 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 currently valid OMB control number.

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

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) |                 | 3. Title and Amount of<br>Securities Underlying<br>Derivative Security<br>(Instr. 4) |                        | 4. Conversion or Exercise Price of | 5.<br>Ownership<br>Form of<br>Derivative | 6. Nature of Indirect<br>Beneficial Ownership<br>(Instr. 5) |
|--|--|-----------------|--|------------------------|------------------------------------|--|---|
|  | Date<br>Exercisable                                      | Expiration Date | Title  | Amount or<br>Number of | Derivative<br>Security             | Security:<br>Direct (D)<br>or Indirect   |   |

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Stock Option (Right to Buy)  $\hat{A}$   $\frac{(2)}{(2)}$  03/05/2029  $\frac{Common}{Stock}$  5,290 \$87.29 D  $\hat{A}$ 

## **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Hotchkiss Herbert

3055 TORRINGTON DRIVE Â Â Â VP, GC and Secretary Â

BALL GROUND, GAÂ 30107

# **Signatures**

/s/ Herbert G. Hotchkiss, by Derek B. Swanson, his attorney-in-fact

03/29/2019

\*\*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).
- All of the total amount of shares beneficially owned were granted on March 5, 2019 pursuant to a restricted share unit agreement under (1) the Chart Industries, Inc. 2017 Omnibus Equity Plan in an exempt transaction under Rule 16b-3, and vest in equal increments on each of the first three anniversaries of the date of grant.
- These options were granted on March 5, 2019 pursuant to the Chart Industries, Inc. 2017 Omnibus Equity Plan in an exempt transaction under Rule 16b-3. The options vest with respect to one-fourth (1/4) of the total number of shares of common stock underlying the stock options on each of the first four anniversaries of the date of grant.

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#### **Remarks:**

## Exhibit List: Exhibit 24.1 -- Power of Attorney

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.

Reporting Owners 2