Volner Jody D Form 3 November 01, 2017

## 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** 

response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event 3. Issuer Name and Ticker or Trading Symbol Person \* Requiring Statement ASTEC INDUSTRIES INC [ASTE] Volner Jody D (Month/Day/Year) 11/01/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 1725 SHEPHERD RD (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 CHATTANOOGA, TNÂ 37421 (give title below) (specify below) Form filed by More than One President-Peterson Pacific 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) Ι Common Stock  $0.1092^{(2)}$ by 401(k) plan  $\frac{(2)}{(2)}$ Â Common Stock 600 (1) 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 1. Title of Derivative Security 2. Date Exercisable and 6. Nature of Indirect (Instr. 4) **Expiration Date** Securities Underlying Conversion Ownership Beneficial Ownership (Month/Day/Year) **Derivative Security** or Exercise Form of (Instr. 5) (Instr. 4) Price of Derivative Derivative Security:

## Edgar Filing: Volner Jody D - Form 3

Date Expiration Title Exercisable Date

Amount or Security Number of Direct (D) or Indirect (I) (Instr. 5)

**Reporting Owners** 

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Shares

Volner Jody D

1725 SHEPHERD RD President-Peterson Pacific CHATTANOOGA, TNÂ 37421

**Signatures** 

Robert Taylor, attorney in fact for Jody D. Volner

11/01/2017

\*\*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) Holdings are Restricted Stock Units ("RSUs") that convert to common stock on a one-for-one basis at a later date.
- (2) Astec shares held in the reporting person's 401(k) account are based upon a plan statement dated November 1, 2017.

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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