SEC Form 4

FORM 4

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).

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

OMB APPROVAL

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1. Name and Addre Filcek Rodne	ss of Reporting Persor) [*]	2. Issuer Name and Ticker or Trading Symbol <u>DANA INC</u> [DAN]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner					
(Last) (First) (Middle) 3939 TECHNOLOGY DRIVE		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 12/02/2016	Х	Officer (give title below) SVP & Chief Acc	Other (specify below)			
(Street) MAUMEE	ОН	43537	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi Line) X	dual or Joint/Group Filing	、			
(City)	(State)	(Zip)			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)					5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock, par value \$0.01	12/02/2016		М		308	Α	\$0.0000	24,602	D	
Common Stock, par value \$0.01	12/02/2016		М		83	Α	\$0.0000	24,685	D	
Common Stock, par value \$0.01	12/02/2016		F		83(1)	D	\$17.24	24,602	D	
Common Stock, par value \$0.01	12/02/2016		F		308(1)	D	\$17.24	24,294	D	

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. Transa Code (8)		n of		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	(2)	12/02/2016		М			308	(3)	(3)	Common Stock, par value \$0.01	308	\$0.0000	27,528	D	
Restricted Stock Units	(2)	12/02/2016		М			83	02/25/2017 ⁽³⁾	(3)	Common Stock, par value \$0.01	83	\$0.0000	5,869	D	
Restricted Stock Units ⁽⁴⁾	(2)	02/15/2017		A		7,039		02/15/2020 ⁽⁵⁾	(5)	Common Stock, par value \$0.01	7,039	\$0.0000	7,039	D	

Explanation of Responses:

1. Represents the total number of shares of common stock withheld for the Reporting Person's tax obligation.

2. Each restricted stock unit granted represents the right to receive one share of Dana common stock or, at the election of Dana, cash equal to the market value per share. Each restricted stock unit contains dividend equivalent rights.

3. Restricted stock units surrendered in fulfillment of reporting person's tax obligations related to previously granted restricted stock units.

4. Restricted stock units granted pursuant to the Dana Holding Corporation 2012 Omnibus Incentive Plan.

5. Restricted stock units cliff vest three (3) years from the date of grant. Reporting person may elect to surrender a portion of their unvested grant to fulfill any tax obligation related to such grant.

/s/ Robert W. Spencer, Jr. on behalf of Rodney R. Filcek Date

02/17/2017

** Signature of Reporting Person

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.