

AMERICAN AXLE & MANUFACTURING HOLDINGS INC

FORM 4

(Statement of Changes in Beneficial Ownership)

Filed 9/13/2002 For Period Ending 9/11/2002

Address	ONE DAUCH DRIVE DETROIT, Michigan 48211-1198
Telephone	313-758-3600
CIK	0001062231
Industry	Auto & Truck Parts
Sector	Consumer Cyclical
Fiscal Year	12/31

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, DC 20549

FORM 4

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

☐ 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* (Last, First, Middle)

Dauch, Richard E.

c/o American Axle & Manufacturing
Holdings, Inc.
1840 Holbrook Avenue

(Street)

Detroit, MI 48212

(City) (State) (Zip)

2. Issuer Name and Ticker or
Trading Symbol

American Axle & Manufacturing
Holdings, Inc (NYSE-AXL)

4. Statement for Month/Day/Year

9/11/02

6. Relationship of Reporting Person(s)
to Issuer (Check All Applicable)

☒ Director ☒ 10% Owner

☒ Officer (give title below)

☐ Other (specify below)

Co-Founder, Chairman of the Board
and Chief Executive Officer

3. I.R.S. Identification Number of Reporting
Person, if an entity (Voluntary)

5. If Amendment, Date of Original
(Month/Day/Year)

7. Individual or Joint/Group Filing
(Check Applicable Line)

☒ Form filed by One Reporting Person

☐ Form filed by More than One Reporting
Person

* If the form is filed by more than one reporting person, see instruction 4(b)(v).

Table I — Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security <i>(Instr. 3)</i>	2. Transaction Date <i>(Month/Day/Year)</i>	2a. Deemed Execution Date, if any. <i>(Month/Day/Year)</i>	3. Transaction Code <i>(Instr. 8)</i>	4. Securities Acquired (A) or Disposed of (D) <i>(Instr. 3, 4 and 5)</i>	5. Amount of Securities Beneficially Owned Following Reported Transactions(s) <i>(Instr. 3 and 4)</i>	6. Ownership Form: Direct (D) or Indirect (I) <i>(Instr. 4)</i>	7. Nature of Indirect Beneficial Ownership <i>(Instr. 4)</i>		
			Code	V	Amount	(A) or (D) Price			
Common Stock	9/11/02		J		650,000	D	151,400	D	
Common Stock	9/11/02		J		650,000	A	650,000	I	(1)
							5,804,949	I	(2)

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

[illegible]

[illegible]

Explanation of Responses:

(1) On September 11, 2002, the reporting person completed the transfer of 650,000 shares of common stock to the Richard E. and Sandra J. Dauch Family Foundation. The reporting person is President of the Foundation. There was no change in the reporting person's beneficial ownership as a result of this transfer.

(2) Dauch Annuity Trust 2004 and Dauch Annuity Trust 2007 hold 3,619,834 shares of common stock. An additional 2,185,115 shares of common stock are held by the Sandra J. Dauch Gift Trust. The reporting person is trustee of Dauch Annuity 2004 and Dauch Annuity Trust 2007. The reporting person's spouse is trustee of the Sandra J. Dauch Gift Trust

Date _____

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

** 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.