

Vincent George A
Form 4
May 25, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 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 Person *
Vincent George A

2. Issuer Name and Ticker or Trading Symbol
NANOPHASE TECHNOLOGIES Corp [NANX]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

1319 MARQUETTE DRIVE

(Street)

ROMEDEVILLE, IL 60446

(City) (State) (Zip)

3. Date of Earliest Transaction (Month/Day/Year)
09/03/2014

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

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 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)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
				Code V Amount (A) or (D) Price			
Common Stock	09/03/2014		P	20,618 A \$ 0.51	20,618 ⁽¹⁾	D	

Reminder: Report on a separate line for each class of securities beneficially 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.

SEC 1474 (9-02)

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

Edgar Filing: Vincent George A - Form 4

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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Common Stock (right to purchase)	\$ 1.36					01/31/2012 ⁽²⁾	01/31/2021	Common Stock	12,000
Deferred Common Stock	<u>(3)</u>					<u>(4)</u>	<u>(4)(5)</u>	Common Stock	2,250
Common Stock (right to purchase)	\$ 0.3					08/07/2013 ⁽²⁾	08/07/2022	Common Stock	12,000
Common Stock (right to purchase)	\$ 0.415					02/14/2014 ⁽²⁾	02/14/2023	Common Stock	10,000
Common Stock (right to purchase)	\$ 0.52					02/13/2015 ⁽²⁾	02/13/2024	Common Stock	10,000
Common Stock (right to purchase)	\$ 0.44					02/18/2016 ⁽²⁾	02/18/2025	Common Stock	9,000
Common Stock (right to purchase)	\$ 0.42					02/23/2017 ⁽²⁾	02/23/2026	Common Stock	8,100
Common Stock (right to purchase)	\$ 0.9					11/17/2016	11/17/2026	Common Stock	2,250 ⁽⁶⁾
Common Stock (right to purchase)	\$ 1.05					11/17/2016	11/17/2026	Common Stock	2,250 ⁽⁶⁾

Edgar Filing: Vincent George A - Form 4

Common Stock (right to purchase)	\$ 1.18					11/17/2016	11/17/2026	Common Stock	2,25 <u>(6)</u>
Common Stock (right to purchase)	\$ 0.84					11/17/2016	11/17/2026	Common Stock	2,25 <u>(6)</u>
Common Stock (right to purchase)	\$ 1.85					11/17/2016	11/17/2026	Common Stock	2,25 <u>(6)</u>
Common Stock (right to purchase)	\$ 1.1					11/17/2016	11/17/2026	Common Stock	2,25 <u>(6)</u>
Common Stock (right to purchase)	\$ 0.99					11/17/2016	11/17/2026	Common Stock	2,25 <u>(6)</u>
Common Stock (right to purchase)	\$ 0.68					02/21/2018 ⁽²⁾	02/21/2027	Common Stock	10,000
Common Stock (right to purchase)	\$ 0.82	05/23/2018		A	10,000	05/23/2019 ⁽²⁾	05/23/2028	Common Stock	10,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Vincent George A 1319 MARQUETTE DRIVE ROMEDEVILLE, IL 60446	X			

Signatures

By Jess Jankowski under UPA for George A.
Vincent

05/25/2017

 **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).

These shares of common stock were purchased in the open market during an open trading window for Company officers and directors.

- (1) The Form 4s filed by the reporting person after September 3, 2014 and prior to the date of this Form 4 did not reflect these shares as being owned by the reporting person.
- (2) Subject to certain rights and restrictions, beginning on this date, options vest in three equal annual installments.
- (3) Each share of deferred common stock represents a right to receive one share of common stock.
- (4) The deferred common stock becomes payable upon the reporting person's termination of service as a director of the Company.
- (5) Pursuant to such plan, the reporting person elected to defer receipt of such shares and receive a cumulative total of 12,652 shares of deferred common stock which will all be accounted for under the Company's Non-Employee Director Deferred Compensation Plan.

The stock appreciation rights payable upon the reporting person's termination of service as a director of the Company were terminated, with stock options issued with exercise prices equal to the conversion prices of the respective stock appreciation rights. 2,250 were issued

- (6) with an exercise price of \$0.90, 2,250 were issued with an exercise price of \$1.05, 2,250 were issued with an exercise price of \$1.18, 2,250 were issued with an exercise price of \$0.84, 2,250 were issued with an exercise price of \$1.85, 2,250 were issued with an exercise price of \$1.10, and 2,250 were issued with an exercise price of \$0.99.

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.