

Tremblay Stephen E.
Form 4
November 01, 2017

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 *
Tremblay Stephen E.

2. Issuer Name and Ticker or Trading Symbol
Kraton Corp [KRA]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
10/30/2017

____ Director
 Officer (give title below) _____ Other (specify below)
Executive Vice President & CFO

C/O KRATON CORPORATION, 15710 JOHN F. KENNEDY BLVD, SUITE 300

(Street)

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

HOUSTON, TX 77032

(City) (State) (Zip)

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)			
				(A) or (D)	Price					
			Code	V	Amount					
Common Stock	10/30/2017		M		12,619	A	\$ 13.512	83,930	D	
Common Stock	10/30/2017		S		12,619	D	\$ 47.82 (1)	71,311	D	
Common Stock	10/30/2017		M		12,193	A	\$ 14.46	83,504	D	
Common Stock	10/30/2017		S		12,193	D	\$ 47.82 (1)	71,311	D	
Common Stock	10/31/2017		M		24,811	A	\$ 14.46	96,122	D	

Edgar Filing: Tremblay Stephen E. - Form 4

Common Stock 10/31/2017 S 24,811 D \$ 48.23 71,311 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)

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
Employee Options (Right to Buy)	\$ 13.512	10/30/2017		M	12,619	<u>(3)</u> 06/19/2018	Common Stock	12,619	
Employee Options (Right to Buy)	\$ 14.46	10/30/2017		M	12,193	<u>(4)</u> 01/03/2020	Common Stock	12,193	
Employee Options (Right to Buy)	\$ 14.46	10/31/2017		M	24,811	<u>(5)</u> 01/03/2020	Common Stock	24,811	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Tremblay Stephen E. C/O KRATON CORPORATION 15710 JOHN F. KENNEDY BLVD, SUITE 300 HOUSTON, TX 77032			Executive Vice President & CFO	

Signatures

/s/ James L. Simmons As Attorney-in-Fact for Stephen E.
Tremblay

11/01/2017

__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).

(1) The price in column 4 is a weighted average. The prices actually received ranged from \$47.70 to \$48.30. For all transactions reported in this Form 4 utilizing a weighted average price, the reporting person undertakes to provide upon request by the SEC staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price within the range.

(2) The price in column 4 is a weighted average. The prices actually received ranged from \$47.70 to \$48.43. For all transactions reported in this Form 4 utilizing a weighted average price, the reporting person undertakes to provide upon request by the SEC staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price within the range.

(3) The options became exercisable in equal installments on each of the first three anniversaries of June 19, 2008.

(4) The options became exercisable in equal installments on each of the first five anniversaries of January 3, 2010.

(5) The options became exercisable in equal installments on each of the first five anniversaries of January 3, 2010.

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.