

NANOPHASE TECHNOLOGIES Corp

Form 4

February 22, 2017

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB
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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 *
TYLER W EDWIN

(Last) (First) (Middle)

C/O NANOPHASE
TECHNOLOGIES CORP, 1319
MARQUETTE DRIVE

(Street)

ROMEONVILLE, IL 60446

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
NANOPHASE TECHNOLOGIES
Corp [NANX]3. Date of Earliest Transaction
(Month/Day/Year)
02/21/20174. If Amendment, Date Original
Filed(Month/Day/Year)5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify
below)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 Indirect Beneficial Ownership (Instr. 4)
				(A) or (D)			
			Code	V	Amount		Price

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)**

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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 Underlying Securities (Instr. 3 and 4)				
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Common stock (right to buy)	\$ 1.19							01/12/2012 ⁽¹⁾	01/12/2021	common stock	10,000
Common stock (right to buy)	\$ 0.3							08/07/2013 ⁽¹⁾	08/07/2022	common stock	10,000
Common stock (right to buy)	\$ 0.415							02/14/2014 ⁽¹⁾	02/14/2023	common stock	12,000
Common Stock (right to buy)	\$ 0.52							02/13/2015 ⁽¹⁾	02/13/2024	common stock	12,000
Common Stock (right to buy)	\$ 0.44							02/18/2016 ⁽¹⁾	02/18/2025	common stock	10,800
Common Stock (right to buy)	\$ 0.42							02/23/2017 ⁽¹⁾	02/23/2026	common stock	9,720
Common Stock (right to buy)	\$ 0.68	02/21/2017		A		12,000		02/21/2018 ⁽¹⁾	02/21/2027	Common Stock	12,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
TYLER W EDWIN C/O NANOPHASE TECHNOLOGIES CORP	X			

1319 MARQUETTE DRIVE
ROMEDEVILLE, IL 60446

Signatures

By Jess Jankowski under UPA for W. Ed
Tyler

02/22/2017

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) Subject to certain restrictions, beginning on this date, options vest in three equal annual installments.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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