

JANKOWSKI JESS
Form 4
December 27, 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 *
JANKOWSKI JESS

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)

3. Date of Earliest Transaction (Month/Day/Year)
12/24/2018

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

ROMEDEVILLE, IL 60446

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

(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)
Common Stock					1,000	I	Spouse's IRA
Common Stock					38,801	D	
Common Stock	12/24/2018		P	8,199 A	\$ 0.84 47,000	D	
Common Stock	12/24/2018		P	6,000 A	\$ 0.8 53,000	D	
Common Stock	12/24/2018		P	4,395 A	\$ 0.79 57,395	D	

Edgar Filing: JANKOWSKI JESS - Form 4

Common Stock 12/24/2018 P 1,605 A \$ 0.8 59,000 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)	8. Amount or Number of Shares
Common Stock (right to purchase)	\$ 1.02					05/04/2010 ⁽¹⁾ 05/04/2019	Common Stock	30,000
Common Stock (right to purchase)	\$ 1.7					05/03/2011 ⁽¹⁾ 05/03/2020	Common Stock	27,000
Common Stock (right to purchase)	\$ 1.26					05/02/2012 ⁽¹⁾ 05/02/2021	Common Stock	85,000
Common Stock (right to purchase)	\$ 0.3					08/07/2013 ⁽¹⁾ 08/07/2022	Common Stock	98,000
Common Stock (right to purchase)	\$ 0.415					02/14/2014 ⁽¹⁾ 02/14/2023	Common Stock	90,000
Common Stock	\$ 0.52					02/13/2015 ⁽²⁾ 02/13/2024	Common Stock	90,000

(right to purchase)						
Common Stock (right to purchase)	\$ 0.44	02/18/2016 ⁽³⁾	02/18/2025	Common Stock	81,000	
Common Stock (right to purchase)	\$ 0.42	02/23/2017 ⁽³⁾	02/23/2026	Common Stock	69,000	
Common Stock (right to purchase)	\$ 0.68	02/21/2018 ⁽³⁾	02/21/2027	Common Stock	81,000	
Common Stock (right to purchase)	\$ 0.82	05/23/2019 ⁽¹⁾	05/23/2028	Common Stock	90,000	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
JANKOWSKI JESS 1319 MARQUETTE DRIVE ROMEDEVILLE, IL 60446	X		President, CEO	

Signatures

Jess A.
Jankowski

12/27/2018

 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.
- (2) Subject to certain restrictions, beginning on this date, options vest in three equal installments.
- (3) Subject to certain restrictions, beginning on this date, the 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. 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.