

SECURITIES & EXCHANGE COMMISSION EDGAR FILING

NANOPHASE TECHNOLOGIES Corp

Form: 4

Date Filed: 2018-05-24

Corporate Issuer CIK: 883107

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
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 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		2. Issuer Name and Ticker or Trading Symbol NANOPHASE TECHNOLOGIES Corp [NANX]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director <input type="checkbox"/> Officer (give title below) <input type="checkbox"/> 10% Owner <input type="checkbox"/> Other (specify below)			
(Last) (First) (Middle) C/O NANOPHASE TECHNOLOGIES CORP, 1319 MARQUETTE DRIVE		3. Date of Earliest Transaction (Month/Day/Year) 05/23/2018					
(Street) ROMEOVILLE, IL 60446		4. If Amendment, Date Original Filed(Month/Day/Year)		6. Individual or Joint/Group Filing(Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> 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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	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 SEC 1474 (9-02)
form are not required to respond unless the form displays a currently valid
OMB control number.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. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Common Stock (right to purchase)	\$ 1.19							01/12/2012 ⁽¹⁾	01/12/2021	common stock	10,000		10,000	D	
Common Stock (right to purchase)	\$ 0.3							08/07/2013 ⁽¹⁾	08/07/2022	common stock	10,000		10,000	D	
Common Stock (right to purchase)	\$ 0.415							02/14/2014 ⁽¹⁾	02/14/2023	common stock	12,000		12,000	D	
Common Stock (right to purchase)	\$ 0.52							02/13/2015 ⁽¹⁾	02/13/2024	common stock	12,000		12,000	D	
Common Stock (right to purchase)	\$ 0.44							02/18/2016 ⁽¹⁾	02/18/2025	common stock	10,800		10,800	D	
Common Stock (right to purchase)	\$ 0.42							02/23/2017 ⁽¹⁾	02/23/2026	common stock	9,720		9,720	D	
Common Stock (right to purchase)	\$ 0.68							02/21/2018 ⁽¹⁾	02/21/2027	Common Stock	12,000		12,000	D	
Common Stock (right to purchase)	\$ 0.82	05/23/2018		A		12,000		05/23/2019 ⁽¹⁾	05/23/2028	Common Stock	12,000	\$ 0.82	12,000	D	

Reporting Owners

	Director	10% Owner	Officer	Other
TYLER W EDWIN C/O NANOPHASE TECHNOLOGIES CORP 1319 MARQUETTE DRIVE ROMEOVILLE, IL 60446	X			

Signatures

By Jess Jankowski under UPA for W. Ed Tyler	05/24/2018
 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.

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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SEC 1474 (9-02)


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