

Cureton Kevin  
Form 4/A  
May 29, 2018

**FORM 4**

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

OMB APPROVAL

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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 \*  
Cureton Kevin

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)  
05/23/2018

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Chief Commercial Officer

ROMEDEVILLE, IL 60446  
  
(City) (State) (Zip)

4. If Amendment, Date Original Filed (Month/Day/Year)  
05/24/2018

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)
				(A) or (D)	Code V Amount (D) Price		

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of Derivative Securities	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount Underlying Security (Instr. 3 and 4)
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(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Common Stock (right to purchase)	\$ 0.3								11/28/2013 <sup>(1)</sup>	11/28/2022	Common Stock	52,000
Common Stock (right to purchase)	\$ 0.415								02/14/2014 <sup>(1)</sup>	02/14/2023	Common Stock	48,000
Common Stock (right to purchase)	\$ 0.52								02/13/2015 <sup>(1)</sup>	02/13/2024	Common Stock	75,000
Common Stock (right to purchase)	\$ 0.44								02/18/2016 <sup>(1)</sup>	02/18/2025	Common Stock	50,000
Common Stock (right to purchase)	\$ 0.42								02/23/2017 <sup>(1)</sup>	02/23/2026	Common Stock	43,500
Common Stock (right to purchase)	\$ 0.68								02/21/2018 <sup>(1)</sup>	02/21/2027	Common Stock	50,000
Common Stock (right to purchase)	\$ 0.82	05/23/2018			A		80,000		05/23/2019 <sup>(1)</sup>	05/23/2028	Common Stock	80,000

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Cureton Kevin 1319 MARQUETTE DRIVE ROMEDEVILLE, IL 60446			Chief Commercial Officer	

## Signatures

/s/ Jess Jankowski under UPA for Kevin  
Cureton

05/29/2018

\_\_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.

### Remarks:

Form amended to reflect Mr. Cureton's promotion to the Company's Chief Commercial Officer, effective January 1, 2018. Th

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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