

ZUGIBE KEVIN J

Form 4

August 22, 2017

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
ZUGIBE KEVIN J

2. Issuer Name **and** Ticker or Trading
Symbol
HUDSON TECHNOLOGIES INC
/NY [HDSN]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
PO BOX 1541, ONE BLUE HILL
PLAZA

3. Date of Earliest Transaction
(Month/Day/Year)
08/18/2017

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
Chairman, CEO

(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

PEARL RIVER, NY 10965

(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 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)
Common Stock	04/29/2017		G	V 4,000	D \$ 0 4,480,693 ⁽¹⁾	D	
Common Stock	08/18/2017		M	251,855	A \$ 3.23 4,480,693 ⁽²⁾	D	
Common Stock	08/18/2017		M	28,145	A \$ 3.55 4,480,693 ⁽³⁾	D	
Common Stock	08/18/2017		F	176,590 ⁽⁴⁾	D \$ 8.56 ⁽⁵⁾ 4,304,103 ⁽³⁾	D	

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

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(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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount of Number of Shares
Stock Option (right to buy)	\$ 3.55	08/18/2017		M	28,145	10/01/2014 10/01/2017	Common Stock 28,145
Stock Option	\$ 3.23	08/18/2017		M	251,855	10/01/2014 10/01/2017	Common Stock 251,855

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
ZUGIBE KEVIN J PO BOX 1541 ONE BLUE HILL PLAZA PEARL RIVER, NY 10965	X Chairman, CEO

Signatures

Kevin J. Zugibe 08/22/2017

**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) Includes 1,103,000 shares which may be purchased pursuant to stock options

(2) Includes 851,145 shares which may be purchased pursuant to stock options.

(3) Includes 823,000 shares which may be purchased pursuant to stock options.

(4) No shares sold on the open market. Pursuant to provisions of the Company's Stock Incentive Plan, shares from option exercises were applied by the Company to cover the purchase price and taxes due upon exercise of options.

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(5) Closing Stock Price on August 18, 2017

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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