Tremblay Stephen E. Form 4 August 30, 2018

## FORM 4

#### **OMB APPROVAL**

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

**OMB** 3235-0287 Number:

Check this box if no longer subject to Section 16.

January 31, Expires: 2005

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Estimated average burden hours per response... 0.5

Form 4 or Form 5 obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

| 1. Name and Address of Reporting Person * Tremblay Stephen E.       |          |          | 2. Issuer Name <b>and</b> Ticker or Trading Symbol Kraton Corp [KRA] | 5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)                          |  |  |
|---|----------|----------|--|---|--|--|
| (Last)  | (First)  | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year)                     | Director 10% Owner  |  |  |
| C/O KRATON<br>CORPORATION, 15710 JOHN F<br>KENNEDY BLVD , SUITE 300 |          |          | 08/28/2018   | _X_ Officer (give title Other (special below) Other (special below) Executive Vice President & CF |  |  |
|   | (Street) |          | 4. If Amendment, Date Original Filed(Month/Day/Year)                 | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person |  |  |
| HOUSTON,  | TX 77032 |          |  | Form filed by More than One Reporting Person  |  |  |

| (City)                               | (State)                              | (Zip) Table   | e I - Non-D                             | erivative   | Secur            | rities Acqu | uired, Disposed of   | f, or Beneficial   | ly Owned  |
|--------------------------------------|--------------------------------------|---|---|---|------------------|-------------|--|--|---|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired on(A) or Disposed of (D) (Instr. 3, 4 and 5) |                  |             | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|                                      |                                      |   | Code V                                  | Amount  | (A)<br>or<br>(D) | Price       | Reported<br>Transaction(s)<br>(Instr. 3 and 4)                   |  |   |
| Common Stock (1)                     | 08/28/2018                           |   | M                                       | 9,174   | A                | \$<br>37.11 | 98,498   | D  |   |
| Common<br>Stock                      | 08/28/2018                           |   | S                                       | 9,174   | D                | \$ 49.5     | 89,324   | D  |   |

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

### Edgar Filing: Tremblay Stephen E. - Form 4

# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | Derivative Expiration Date (Month/Day/Year) cquired (A) or isposed of (B) (D) (C) (Month/Day/Year) (Month/Day/Year) (Month/Day/Year) (Month/Day/Year) |                 | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |  |
|---|---|--------------------------------------|---|--|---|---|-----------------|---|--|
|   |   |                                      |   | Code V                                 | (A) (D)   | Date<br>Exercisable   | Expiration Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |
| Employee<br>Options<br>(Right to<br>Buy)            | \$ 37.11  | 08/28/2018                           |   | M                                      | 9,174   | (2)   | 03/07/2021      | Common<br>Stock   | 9,174                                  |

## **Reporting Owners**

| Reporting Owner Name / Address  | Relationships |           |                                |       |  |  |  |
|---|---------------|-----------|--------------------------------|-------|--|--|--|
| Reporting Owner Name / Address  | Director      | 10% Owner | Officer                        | Other |  |  |  |
| Tremblay Stephen E.<br>C/O KRATON CORPORATION<br>15710 JOHN F KENNEDY BLVD , SUITE 300<br>HOUSTON, TX 77032 |               |           | Executive Vice President & CFO |       |  |  |  |

## **Signatures**

/s/ James L. Simmons As Attorney-in-Fact for Stephen E.

Tremblay

08/30/2018

\*\*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) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on June 15, 2018.
- (2) The options became exercisable in equal installments on each of the first three anniversaries of March 7, 2011.

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.

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