

KATY INDUSTRIES INC  
Form NT 10-Q  
November 15, 2016

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| UNITED STATES                      | OMB APPROVAL  |
| SECURITIES AND EXCHANGE COMMISSION | OMB Number 3235-0058                                |
| Washington, D.C. 20549             | Expires October 31, 2018                            |
| FORM 12b-25                        | Estimated average burden<br>hours per response 2.50 |
| NOTIFICATION OF LATE FILING        | SEC FILE NUMBER<br>000-05558                        |
|                                    | CUSIP NUMBER<br>486026107                           |

(Check one): Form 10-K      Form 11-K      Form 10-Q      Form 10-D  
   Form 20-F  
   Form N-SAR      Form N-CSR

For Period Ended: September 30, 2016  
Transition Report on Form 10-K  
Transition Report on Form 20-F  
Transition Report on Form 11-K  
Transition Report on Form 10-Q  
Transition Report on Form N-SAR  
For the Transition  
Period Ended:

Read Instructions (on back page) Before Preparing Form. Please Print or Type.

Nothing in this form shall be construed to imply that the Commission has verified any information contained herein.

If the notification relates to a portion of the filing checked above, identify the Item(s) to which the notification relates:

**PART I — REGISTRANT INFORMATION**

Katy Industries, Inc.  
Full Name of Registrant

N/A  
Former Name if Applicable

11840 Westline Industrial Drive, Suite 200  
Address of Principal Executive Office (Street and Number)

St. Louis, Missouri 63146  
City, State and Zip Code



PART II — RULES 12b-25(b) AND (c)

If the subject report could not be filed without unreasonable effort or expense and the registrant seeks relief pursuant to Rule 12b-25(b), the following should be completed. (Check box if appropriate)

- (a) The reason described in reasonable detail in Part III of this form could not be eliminated without unreasonable effort or expense;

The subject annual report, semi-annual report, transition report on Form 10-K, Form 20-F, Form 11-K, Form N-SAR or Form N-CSR, or portion thereof, will be filed on or before the fifteenth calendar day following the (b)prescribed due date; or the subject quarterly report or transition report on Form 10-Q or subject distribution report on Form 10-D, or portion thereof, will be filed on or before the fifth calendar day following the prescribed due date; and

- (c) The accountant's statement or other exhibit required by Rule 12b-25(c) has been attached if applicable.

PART III — NARRATIVE

State below in reasonable detail why Forms 10-K, 20-F, 11-K, 10-Q, 10-D, N-SAR, N-CSR, or the transition report or portion thereof, could not be filed within the prescribed time period.

Katy Industries, Inc. (the "Company") is unable to file in a timely manner, without unreasonable effort and expense, its Quarterly Report on Form 10-Q for the quarter ended September 30, 2016 (the "Form 10-Q") because it has not finalized the presentation of the financial statements and certain subsequent events in the Form 10-Q. The Company expects to file the Form 10-Q on or before November 21, 2016.

(Attach extra Sheets if Needed)

PART IV — OTHER INFORMATION

- (1) Name and telephone number of person to contact in regard to this notification

Curt Kroll (314) 656-4321  
(Name) (Area Code) (Telephone Number)

- Have all other periodic reports required under Section 13 or 15(d) of the Securities Exchange Act of 1934 or (2) Section 30 of the Investment Company Act of 1940 during the preceding 12 months or for such shorter period that the registrant was required to file such report(s) been filed? If answer is no, identify report(s).

Yes No

- (3) Is it anticipated that any significant change in results of operations from the corresponding period for the last fiscal year will be reflected by the earnings statements to be included in the subject report or portion thereof?

Yes No

If so, attach an explanation of the anticipated change, both narratively and quantitatively, and, if appropriate, state the reasons why a reasonable estimate of the results cannot be made.

Katy Industries, Inc.

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(Name of Registrant as Specified in Charter)

has caused this notification to be signed on its behalf by the undersigned hereunto duly authorized.

Date: November 15, 2016 By/s/ Curt Kroll

Curt Kroll

Vice President, Treasurer and Chief Financial Officer

INSTRUCTION: The form may be signed by an executive officer of the registrant or by any other duly authorized representative. The name and title of the person signing the form shall be typed or printed beneath the signature. If the statement is signed on behalf of the registrant by an authorized representative (other than an executive officer), evidence of the representative's authority to sign on behalf of the registrant shall be filed with the form.

ATTENTION

Intentional misstatements or omissions of fact constitute Federal Criminal Violations (See 18 U.S.C. 1001).

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