

Jung Holger R.
Form 4
November 01, 2017

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 *
Jung Holger R.

2. Issuer Name and Ticker or Trading Symbol
Kraton Corp [KRA]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
C/O KRATON
CORPORATION, 15710 JOHN F.
KENNEDY BLVD. SUITE 300

3. Date of Earliest Transaction
(Month/Day/Year)
10/30/2017

___ Director ___ 10% Owner
 Officer (give title below) ___ Other (specify below)
SVP & Polymer Seg. President

(Street)
HOUSTON, TX 77032

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

(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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | | (A) or (D) | Price | | |
| | | | | Code V | Amount | | |
| Common Stock | 10/30/2017 | | M | 3,000 | A | \$ 23.84 | 45,585 D |
| Common Stock | 10/30/2017 | | S | 3,000 | D | \$ 47.83 (1) | 42,585 D |
| Common Stock | 10/30/2017 | | M | 2,958 | A | \$ 36.98 | 45,543 D |
| Common Stock | 10/30/2017 | | S | 2,958 | D | \$ 48.23 (2) | 42,585 D |

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| | | | | | | | |
|--------------|------------|---|--------|---|------------------------|--------|---|
| Common Stock | 10/30/2017 | M | 16,800 | A | \$ 36.98 | 59,385 | D |
| Common Stock | 10/30/2017 | S | 16,800 | D | \$ 47.83 <u>(1)</u> | 42,585 | D |
| Common Stock | 10/31/2017 | M | 10,000 | A | \$ 27.98 | 52,585 | D |
| Common Stock | 10/31/2017 | S | 10,000 | D | \$ 49.03 <u>(3)</u> | 42,585 | D |
| Common Stock | 10/31/2017 | M | 10,000 | A | \$ 28.42 | 52,585 | D |
| Common Stock | 10/31/2017 | S | 10,000 | D | \$ 48.58 <u>(4)</u> | 42,585 | D |

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 (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 or Number of Shares |
| Employee Options (Right to Buy) | \$ 23.84 | 10/30/2017 | | M | 3,000 | <u>(5)</u> | 03/04/2023 | Common Stock | 3,000 |
| Employee Options (Right to Buy) | \$ 36.98 | 10/30/2017 | | M | 2,958 | <u>(6)</u> | 03/14/2021 | Common Stock | 2,958 |
| Employee Options (Right to Buy) | \$ 36.98 | 10/30/2017 | | M | 16,800 | <u>(6)</u> | 03/14/2021 | Common Stock | 16,800 |

| | | | | | | | | | |
|---------------------------------|----------|------------|---|--------|-----|------------|--------------|--------|--|
| Buy) | | | | | | | | | |
| Employee Options (Right to Buy) | \$ 27.98 | 10/31/2017 | M | 10,000 | (7) | 03/03/2024 | Common Stock | 10,000 | |
| Employee Options (Right to Buy) | \$ 28.42 | 10/31/2017 | M | 10,000 | (8) | 03/05/2022 | Common Stock | 10,000 | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Jung Holger R. C/O KRATON CORPORATION 15710 JOHN F. KENNEDY BLVD. SUITE 300 HOUSTON, TX 77032 | | | SVP & Polymer Seg. President | |

Signatures

| | |
|---|------------|
| /s/ James L. Simmons as Attorney-in-Fact for Holger R. Jung | 11/01/2017 |
| **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) The price in column 4 is a weighted average. The prices actually received ranged from \$47.77 to \$47.91. For all transactions reported in this Form 4 utilizing a weighted average price, the reporting person undertakes to provide upon request by the SEC staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price within the range.

(2) The price in column 4 is a weighted average. The prices actually received ranged from \$48.12 to \$48.43. For all transactions reported in this Form 4 utilizing a weighted average price, the reporting person undertakes to provide upon request by the SEC staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price within the range.

(3) The price in column 4 is a weighted average. The prices actually received ranged from \$49.00 to \$49.05. For all transactions reported in this Form 4 utilizing a weighted average price, the reporting person undertakes to provide upon request by the SEC staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price within the range.

(4) The price in column 4 is a weighted average. The prices actually received ranged from \$48.50 to \$48.65. For all transactions reported in this Form 4 utilizing a weighted average price, the reporting person undertakes to provide upon request by the SEC staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price within the range.

(5) The options became exercisable in equal installments on each of the first three anniversaries of March 4, 2013.

(6) The options became exercisable in equal installments on each of the first three anniversaries of March 14, 2011.

(7) The options became exercisable in equal installments on each of the first three anniversaries of March 3, 2014.

(8) The options became exercisable in equal installments on each of the first three anniversaries of March 5, 2012.

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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