

QUAKER CHEMICAL CORP

Form 4

November 23, 2016

**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

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
BARRY MICHAEL F

(Last) (First) (Middle)

QUAKER CHEMICAL  
CORPORATION, ONE QUAKER  
PARK, 901 E. HECTOR STREET

(Street)

CONSHOHOCKEN, PA 19428-2380

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
QUAKER CHEMICAL CORP  
[KWR]

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/21/2016

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

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

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 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	04/20/2016		G	V 616 D \$ 0	118,486	D	
Common Stock	04/20/2016		A	V 308 A \$ 0	1,980	I	By son
Common Stock	11/21/2016		M	3,078 A \$ 38.13	121,564	D	
Common Stock	11/21/2016		F	1,943 D \$ 122.5	119,621	D	
	11/21/2016		M	13,081 A	132,702	D	

Edgar Filing: QUAKER CHEMICAL CORP - Form 4

Common Stock					\$ 58.26			
Common Stock	11/21/2016	F	9,027	D	\$ 122.5	123,675	D	
Common Stock	11/21/2016	M	11,801	A	\$ 73.47	135,476	D	
Common Stock	11/21/2016	F	9,039	D	\$ 122.5	126,437	D	
Common Stock	11/21/2016	M	5,966	A	\$ 87.3	132,403	D	
Common Stock	11/21/2016	F	4,907	D	\$ 122.5	127,496	D	
Common Stock						33,484 <sup>(1)</sup>	I	By 401(k)

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

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

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)	Amount or Number of Shares
				Code	V (A) (D)	Date Exercisable Expiration Date	Title	
Employee Stock Option (right to buy)	\$ 38.13	11/21/2016		M	3,078	<sup>(2)</sup> 03/06/2019	Common Stock	3,078
Employee Stock Option (right to buy)	\$ 58.26	11/21/2016		M	13,081	<sup>(3)</sup> 03/05/2020	Common Stock	13,081
	\$ 73.47	11/21/2016		M	11,801	<sup>(4)</sup> 02/27/2021		11,801

Employee  
Stock  
Option  
(right to  
buy)

Common  
Stock

Employee  
Stock  
Option  
(right to  
buy)

\$ 87.3

11/21/2016

M

5.966

(5)

02/25/2022

Common  
Stock

5.966

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BARRY MICHAEL F QUAKER CHEMICAL CORPORATION ONE QUAKER PARK, 901 E. HECTOR STREET CONSHOHOCKEN, PA 19428-2380	X		Chairman, CEO and President	

## Signatures

Victoria K. Gehris, Attorney-in-Fact for Michael F. Barry

11/23/2016

          \*\*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) Information based on reporting person's Plan Statement as of September 30, 2016.
- (2) The options for this grant vested in three annual installments: 5,352 shares on March 6, 2013; 5,352 shares on March 6, 2014; and 5,351 shares on March 6, 2015.
- (3) The options for this grant vested in three annual installments: 4,360 shares on March 5, 2014; 4,360 shares on March 5, 2015; and 4,361 shares on March 5, 2016.
- (4) The options for this grant vest in three annual installments: 5,901 shares on February 27, 2015; 5,900 shares on February 27, 2016; and 5,900 shares on February 27, 2017.
- (5) The options for this grant vest in three annual installments: 5,966 shares on February 25, 2016; 5,966 shares on February 25, 2017; and 5,965 shares on February 25, 2018.

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.