

QUAKER CHEMICAL CORP
Form 4
January 27, 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 *
ETTINGER RONALD S

(Last) (First) (Middle)
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)
01/25/2017

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)
VP - Human Resources

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 (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 | 01/25/2017 | | M | A | 1,420 | \$ 58.26 | 6,580 ⁽¹⁾ | D |
| Common Stock | 01/25/2017 | | F | D | 975 | \$ 131.01 | 5,605 | D |
| Common Stock | 01/25/2017 | | M | A | 736 | \$ 73.47 | 6,341 | D |
| Common Stock | 01/25/2017 | | F | D | 553 | \$ 131.01 | 5,788 | D |
| Common Stock | 01/25/2017 | | M | A | 745 | \$ 87.3 | 6,533 | D |

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| | | | | | | | | |
|--------------|------------|---|-----|---|-----------|----------------------|---|-----------|
| Common Stock | 01/25/2017 | F | 506 | D | \$ 131.01 | 6,027 | D | |
| Common Stock | | | | | | 5,148 ⁽²⁾ | I | By 401(k) |

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) | 8. Amount or Number of Shares | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Employee Stock Option (right to buy) | \$ 58.26 | 01/25/2017 | | M | 1,420 | ⁽³⁾ 03/05/2020 | Common Stock | 1,420 | |
| Employee Stock Option (right to buy) | \$ 73.47 | 01/25/2017 | | M | 736 | ⁽⁴⁾ 02/27/2021 | Common Stock | 736 | |
| Employee Stock Option (right to buy) | \$ 87.3 | 01/25/2017 | | M | 745 | ⁽⁵⁾ 02/25/2022 | Common Stock | 745 | |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

ETTINGER RONALD S
ONE QUAKER PARK
901 E. HECTOR STREET
CONSHOHOCKEN, PA 19428-2380

VP - Human
Resources

Signatures

Victoria K. Gehris, Attorney-in-Fact for Ronald S.
Ettinger

01/27/2017

__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).
Includes 45 shares acquired by reporting person under the Company's Employee Stock Purchase Plan between May 31, 2016 and
(1) December 30, 2016 and 11 shares acquired under the Company's Dividend Reinvestment Plan between July 29, 2016 and October 31, 2016.
(2) Information based on reporting person's Plan Statement as of December 31, 2016.
(3) The options for this grant vested in three annual installments: 710 shares on March 5, 2014; 710 shares on March 5, 2015; and 710 shares on March 5, 2016.
(4) The options for this grant vest in three annual installments: 737 shares on February 27, 2015; 736 shares on February 27, 2016; and 736 shares on February 27, 2017.
(5) The options for this grant vest in three annual installments: 745 shares on February 25, 2016; 744 shares on February 25, 2017; and 744 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.