

Jung Holger R.  
Form 4  
November 01, 2017

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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)

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

C/O KRATON CORPORATION, 15710 JOHN F. KENNEDY BLVD. SUITE 300

(Street)

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

HOUSTON, TX 77032

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

Edgar Filing: Jung Holger R. - Form 4

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

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) |              |                            |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------|----------------------------|
|  |  |                                      |  | 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<br>(Right to<br>Buy) | \$ 27.98 | 10/31/2017 | M | 10,000 | (7) | 03/03/2024 | Common<br>Stock | 10,000 |
|------------------------------|----------|------------|---|--------|-----|------------|-----------------|--------|

Employee

|                              |          |            |   |        |     |            |                 |        |
|------------------------------|----------|------------|---|--------|-----|------------|-----------------|--------|
| Options<br>(Right to<br>Buy) | \$ 28.42 | 10/31/2017 | M | 10,000 | (8) | 03/05/2022 | Common<br>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).

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 (1) 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.

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 (2) 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.

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 (3) 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.

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 (4) 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.

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.