

ZUGIBE KEVIN J
Form 4
August 22, 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 *
ZUGIBE KEVIN J

2. Issuer Name and Ticker or Trading Symbol
HUDSON TECHNOLOGIES INC /NY [HDSN]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
PO BOX 1541, ONE BLUE HILL PLAZA

3. Date of Earliest Transaction (Month/Day/Year)
08/18/2017

Director 10% Owner
 Officer (give title below) Other (specify below)
Chairman, CEO

(Street)
PEARL RIVER, NY 10965

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		
Common Stock	04/29/2017		G	V	4,000	D	\$ 0 4,480,693 ⁽¹⁾ D
Common Stock	08/18/2017		M		251,855	A	\$ 3.23 4,480,693 ⁽²⁾ D
Common Stock	08/18/2017		M		28,145	A	\$ 3.55 4,480,693 ⁽³⁾ D
Common Stock	08/18/2017		F		176,590 ⁽⁴⁾	D	\$ 8.56 ⁽⁵⁾ 4,304,103 ⁽³⁾ D

Edgar Filing: ZUGIBE KEVIN J - Form 4

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 Number of Shares
Stock Option (right to buy)	\$ 3.55	08/18/2017		M	28,145	10/01/2014 10/01/2017	Common Stock 28,145
Stock Option	\$ 3.23	08/18/2017		M	251,855	10/01/2014 10/01/2017	Common Stock 251,855

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ZUGIBE KEVIN J PO BOX 1541 ONE BLUE HILL PLAZA PEARL RIVER, NY 10965	X		Chairman, CEO	

Signatures

Kevin J. Zugibe 08/22/2017

**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) Includes 1,103,000 shares which may be purchased pursuant to stock options
- (2) Includes 851,145 shares which may be purchased pursuant to stock options.
- (3) Includes 823,000 shares which may be purchased pursuant to stock options.
- (4) No shares sold on the open market. Pursuant to provisions of the Company's Stock Incentive Plan, shares from option exercises were applied by the Company to cover the purchase price and taxes due upon exercise of options.

Edgar Filing: ZUGIBE KEVIN J - Form 4

(5) Closing Stock Price on August 18, 2017

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.