MANDRACCHIA STEPHEN P
Form 4
November 20, 2017

# 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 |
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(Print or Type Responses)

1. Name and Address of Reporting Person *
MANDRACCHIA STEPHEN P

(Last) (First) (Middle)

2 HERITAGE COURT

(Street)

WARWICK, NY 10990

(City) (State) (Zip)

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

3. Date of Earliest Transaction (Month/Day/Year)
11/17/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

_____ Director _____ 10% Owner
__X__ Officer (give title below) _____ Other (specify below)
VP Legal & Regulatory

6. Individual or Joint/Group Filing(Check Applicable Line)
_X_ 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) |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | Code | V | Amount | (A) or (D) | Price | | | |
| Common Stock | 09/11/2017 | | G | V | 5,000 | D | $ 0 | 1,552,073 (1) | I | Held by Spouse and Children |
| Common Stock | 11/17/2017 | | M | | 125,000 | A | $ 0.85 | 1,552,073 (2) | I | Held by Spouse and Children |
| Common Stock | 11/17/2017 | | F | | 48,592 (3) | D | $ 5.76 (4) | 1,502,481 (2) | I | Held by Spouse and Children |

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 |
| Stock Option | $ 0.85 | 11/17/2017 | | M | | | 125,000 | 11/20/2007 | 11/20/2017 | Common Stock | 125,000 |

# Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---|---|---|---|
| | Director | 10% Owner | Officer | Other |
| MANDRACCHIA STEPHEN P<br>2 HERITAGE COURT<br>WARWICK, NY 10990 | | | VP Legal & Regulatory | |

# Signatures

| | |
|---|---|
| Stephen P. Mandracchia | 11/20/2017 |
| **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 333,000 shares which may be purchased pursuant to stock options. Also includes 766,273 shares held by Spouse and 9,800 shares held by Reporting Person's children

**(2)** Includes 208,000 which may be purchased pursuant to stock options. Also includes 841,681 shares held by Reporting Person's Spouse and 9,800 shares held by Reporting Person's children.

**(3)** No shares sold on the Open Market. Pursuant to provisions of the Company's Stock Incentive Plan, shares from the option exercise were applied by the Company to cover the exercise price and the taxes due upon the exercise of the options.

**(4)** Closing Stock Price on November 17, 2017.

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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