SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

| OMB Number: | 3235-0287 | | | | | | |
|--------------------------|-----------|--|--|--|--|--|--|
| Estimated average burden | | | | | | | |
| hours per response | : 0.5 | | | | | | |

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

| | | | or Se | ction 30(n) of the in | vestment Con | ipany Act of 1940 | | | | | |
|--|-------------------------|---------------------|----------------|---------------------------------------|------------------|---------------------------|--|----------------------------|-----------------|---------------|--|
| 1. Name and Address of Reporting Person* STAFFORD THOMAS P | | | | uer Name and Tick INDUSTRIE | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | |
| STAFFUR | D I HOMAS | <u>5 P</u> | | | | - | X | Director | 10% 0 | Dwner | |
| (Last) 5430 LBJ FR | (First) REEWAY, SUIT | (Middle) TE 1700 | | te of Earliest Transa 1/2020 | action (Month/I | Day/Year) | - | Officer (give title below) | Other below | (specify) | |
| | | | 4. If A | mendment, Date of | f Original Filed | (Month/Day/Year) | | /idual or Joint/Grou | p Filing (Check | Applicable | |
| (Street) | | | | | | | Line) | | | | |
| DALLAS | ТХ | 75240 | | | | | | Form filed by On | e Reporting Per | son | |
| | | | | | | | | Form filed by Mo | re than One Re | porting | |
| (City) | (State) | (Zip) | | | | | | Person | | | |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | | | | | |
| | | | 2. Transaction | 2A. Deemed | 3. | 4. Securities Acquired (/ | | 5. Amount of | 6. Ownership | 7. Nature | |

| | (Month/Day/Year) | if any (Month/Day/Year) | Code (Instr. | | | | | Securities Beneficially Owned Following Reported | (D) or Indirect (I) (Instr. 4) | Beneficial Ownership (Instr. 4) |
|--------------------------------|------------------|----------------------------|------------------|---|--------|---------------|-------|---|-----------------------------------|---------------------------------------|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | (1150.4) |
| Common stock \$0.125 par value | 05/21/2020 | | A ⁽¹⁾ | | 6,650 | A | (1) | 13,400 | D | |

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and 8. Price of 9. Number of 10. 11. Nature Conversion Execution Date. Transaction Ownership Derivative Date of Expiration Date Amount of Derivative derivative of Indirect or Exercise Price of Derivative Security (Instr. 3) (Month/Day/Year) if any (Month/Day/Year) Code (Instr. Derivative (Month/Day/Year) Securities Security (Instr. 5) Securities Form: Direct (D) Beneficial 8) Securities Acquired Beneficially Ownership (Instr. 4) Underlying or Indirect Derivative Owned Security (A) or Disposed Security (Instr. 3 and 4) Following (I) (Instr. 4) Reported of (D) (Instr. 3, 4 . Transaction(s) (Instr. 4) and 5) Amount or Number Expiration Date

Exercisable

Date

Explanation of Responses:

1. Shares issued for no cash consideration to directors under the NL Industries, Inc. 2012 Director Stock Plan.

Remarks:

Clarence B. Brown, III,

of

Shares

Title

05/21/2020 Attorney-in-fact, for Thomas P. Stafford

** Signature of Reporting Person Date

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

* 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).

v

(A) (D)

Code

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).