## SEC Form 4

# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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

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

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(b) of the Investment Company Act of 1940

| 1. Name and Address of Reporting Person <sup>*</sup><br>Harper John E |  |          | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br><u>NL INDUSTRIES INC</u> [ NL ] | (Check   | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable) |                       |  |  |  |
|---|--|----------|---|----------|--|-----------------------|--|--|--|
| <u></u>   |  |          |   | X        | Director   | 10% Owner             |  |  |  |
| (Last)<br>5430 LBJ FR   | (First)<br>EEWAY   | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year)<br>05/21/2020                        |          | Officer (give title below)   | Other (specify below) |  |  |  |
| SUITE 1700  |  |          | 4. If Amendment, Date of Original Filed (Month/Day/Year)                              | 6. Indiv | 6. Individual or Joint/Group Filing (Check Applicable                      |                       |  |  |  |
| (Ctro ot)   |  |          | —   | Line)    |  |                       |  |  |  |
| (Street)  |  | 75240    |   | X        | Form filed by One Reporting Person   |                       |  |  |  |
| DALLAS  | TX   |          |   |          | Form filed by More than One Reporting<br>Person                            |                       |  |  |  |
| (City)  | (State)  | (Zip)    |   |          |  |                       |  |  |  |
|   | Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |          |   |          |  |                       |  |  |  |

### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | if any ' | 3.<br>Transa<br>Code (<br>8) |   |        |               | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership |            |
|---------------------------------|--|----------|------------------------------|---|--------|---------------|---|---|---|------------|
|                                 |  |          | Code                         | v | Amount | (A) or<br>(D) | Price   | Transaction(s)<br>(Instr. 3 and 4)                                |   | (Instr. 4) |
| Common stock \$0.125 par value  | 05/21/2020                                 |          | A <sup>(1)</sup>             |   | 6,650  | Α             | (1)   | 17,900  | D   |            |

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

Date

Exercisable

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,

or Number

of Shares

05/21/2020

Attorney-in-fact, for John E. Harper

Title

Expiration Date

\*\* 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.