#### SNIVELY JOSHUA A

Form 4

January 03, 2019

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

30(h) of the Investment Company Act of 1940

**OMB** 

**OMB APPROVAL** 

Number:

3235-0287

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Check this box if no longer subject to Section 16. Form 4 or Form 5

obligations

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

may continue. See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* SNIVELY JOSHUA A

2. Issuer Name and Ticker or Trading

Symbol

FLOTEK INDUSTRIES INC/CN/

[FTK]

(Month/Day/Year) 12/31/2018

3. Date of Earliest Transaction

Director 10% Owner X\_ Officer (give title \_ Other (specify

(Check all applicable)

5. Relationship of Reporting Person(s) to

below) **EVP Operations** 

10603 W. SAM HOUSTON PKWY **N., SUITE 300** 

(Street)

(First)

(Middle)

(Last)

4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Issuer

HOUSTON, TX 77064

1100310N, 1A 7/004								Person				
	(City)	(State)	(Zip) Tabl	Table I - Non-Derivative Securities Acquir					nired, 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. Securiti or(A) or Dis (Instr. 3, 4	sposed	of (D)	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)		
	Common Stock	12/31/2018		F	17,023 (1)	D	\$ 1.09	166,858	D			
	Common Stock							133,366	I	By Joshua A. Snively, Sr. Irrevocable Trust (2)		
	Common Stock							138,269	I	By Joshua A. Snively, Sr. and Heather B.		

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Snively Revocable Trust (3)

> 9. Nu Deriv Secur Bene Own Follo Repo Trans

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)	Execution Date, if any	4. Transaction Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

SNIVELY JOSHUA A 10603 W. SAM HOUSTON PKWY N. SUITE 300 HOUSTON, TX 77064

**EVP Operations** 

## **Signatures**

/s/ Joshua A.
Snively, Sr.
01/03/2019

\*\*Signature of Reporting Date
Person

# **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) Disposition of 17,023 shares at \$1.09/share for tax obligation relative to previously granted awards vesting on 12/31/2018.

**(2)** 

Reporting Owners 2

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Mr. Snively, Sr.'s spouse is a trustee and beneficiary of the named trust. Mr. Snively, Sr. disclaims beneficial ownership of such shares except to the extent of his pecuniary interests therein.

(3) Mr. Snively is a trustee and beneficiary of the named trusts. Mr. Snively disclaims beneficial ownership of such shares except to the extent of his pecuniary interest therein.

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.