

FUNKE JAMES H  
Form 4  
August 23, 2018

**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 \*  
FUNKE JAMES H

2. Issuer Name and Ticker or Trading Symbol  
TETRA TECHNOLOGIES INC [TTI]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
24955 INTERSTATE 45 N  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
08/21/2018

\_\_\_\_ Director  
\_\_\_\_ Officer (give title below)  
\_\_\_\_ 10% Owner  
\_\_\_\_ Other (specify below)  
VP

THE WOODLANDS, TX 77380  
(City) (State) (Zip)

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

**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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price                             |
| Common Stock                    | 08/21/2018                           |  | M                              |   | 35,000  | A  | \$ 3.78                           |
| Common Stock                    | 08/21/2018                           |  | S                              |   | 35,000  | D  | 88,592                            |
| Common Stock                    |                                      |  |                                |   |   |  | 53,592                            |
| Common Stock                    |                                      |  |                                |   |   |  | 14,036                            |
| Common Stock                    |                                      |  |                                |   |   |  | 47,161                            |

by 401(k) Plan <sup>(2)</sup>  
By Funke Family Living Trust <sup>(3)</sup>

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) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--------|--|------------------|---|-------------------------------|
|  |  |                                      |  |                                | V   | (A)    | (D)  | Date Exercisable |   |                               |
| Stock Option (Right to Buy)                | \$ 3.78  | 08/21/2018                           |  | M                              |   | 35,000 | <u>(4)</u>   | 02/12/2019       | Common Stock  | 35,000                        |

## Reporting Owners

| Reporting Owner Name / Address                                    | Relationships |           |         |       |
|---|---------------|-----------|---------|-------|
|   | Director      | 10% Owner | Officer | Other |
| FUNKE JAMES H<br>24955 INTERSTATE 45 N<br>THE WOODLANDS, TX 77380 |               |           | VP      |       |

## Signatures

Kimberly M. O'Brien, attorney in fact  
08/23/2018  
 \*\*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).  
 The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$4.98 to \$5.041 inclusive. The reporting person undertakes to provide to TETRA Technologies, Inc., any security holder of TETRA Technologies, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (1)
- (2) Rounded. Reflects shares held for the Reporting Person's account by the Trustee of TETRA Technologies, Inc. 401(k) Retirement Plan as of June 30, 2018.
- (3)

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These shares are held in a trust for the benefit of the reporting person and the reporting person's spouse and children. The reporting person and his spouse are co-trustees of the trust..

- (4) Vests 11,666 share(s) on 12-Feb-2010, 972 share(s) on 12-Mar-2010, 973 share(s) on 12-Apr-2010, 972 share(s) on 12-May-2010, 972 share(s) on 12-Jun-2010, 972 share(s) on 12-Jul-2010, 973 share(s) on 12-Aug-2010, 972 share(s) on 12-Sep-2010, 972 share(s) on 12-Oct-2010, 972 share(s) on 12-Nov-2010, 972 share(s) on 12-Dec-2010, 973 share(s) on 12-Jan-2011, 972 share(s) on 12-Feb-2011, 972 share(s) on 12-Mar-2011, 972 share(s) on 12-Apr-2011, 973 share(s) on 12-May-2011, 972 share(s) on 12-Jun-2011, 972 share(s) on 12-Jul-2011, 972 share(s) on 12-Aug-2011, 973 share(s) on 12-Sep-2011, 972 share(s) on 12-Oct-2011, 972 share(s) on 12-Nov-2011, 972 share(s) on 12-Dec-2011, 972 share(s) on 12-Jan-2012, 973 share(s) on 12-Feb-2012

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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