

KATY INDUSTRIES INC
Form 8-K
December 20, 2016

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

FORM 8-K

CURRENT REPORT

Pursuant to Section 13 or 15(d)
of the Securities Exchange Act of 1934

Date of Report (Date of Earliest Event Reported): December 14, 2016

Katy Industries, Inc.
(Exact name of registrant as specified in its charter)

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|---|---------------------------------------|---|
| Delaware (State or other jurisdiction of incorporation) | 001-05558 (Commission File Number) | 75-1277589 (IRS Employer Identification No.) |
|---|---------------------------------------|---|

11840 Westline Industrial Drive, Suite 200
St Louis, Missouri 63146
(Address of principal executive offices)

(314) 656-4321
(Registrant's Telephone Number, Including Area Code)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General instruction A.2. below):

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
 - Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
 - Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
 - Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))
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ItemDeparture of Directors or Principal Officers; Election of Directors; Appointment of Certain Officers;
5.02.Compensatory Arrangements of Certain Officers.

On December 14, 2016, Curt Kroll notified Katy Industries, Inc. (the “Company”) of his intention to resign as the Company’s chief financial officer and treasurer (and any other positions he holds with the Company or its subsidiaries) to pursue other interests, effective as of January 13, 2017 (the “Effective Date”). The Company has commenced a process to identify and retain a successor to Mr. Kroll. Mr. Kroll advised the Company that, following the Effective Date, he will assist the Company, on a consulting basis (and otherwise upon such terms as he and the Company shall mutually agree), in the transition of his functions to a successor, until March 31, 2017 or such earlier date as such transition has been completed.

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

KATY INDUSTRIES, INC.

Dated: December 20, 2016

/s/ Robert Guerra

By: Robert Guerra

Its: President and Chief Executive
Officer