Edgar Filing: NovaBay Pharmaceuticals, Inc. - Form 4

NovaBay Pharmaceuticals, Inc. Form 4 December 02, 2013

Common

Stock

07/22/2013

December 02	, 2013												
FORM 4 UNITED STATES SECURITIES AND EXCHANCE COMMISSION										-	OMB APPROVAL		
Washington, D.C. 20549								OMB Number:	3235-0287				
Check this if no long subject to Section 16 Form 4 or Form 5	Filed pur	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES									January 31, 2005 average rs per 0.5		
obligation may contin <i>See</i> Instruct 1(b).	s Section 17(a) of the 1		ility Ho	oldi	ing Com	pany	Act o	f 1935 or Sectio	on			
(Print or Type R	esponses)												
Pioneer Pharma (Singapore) Pte. Ltd. _{Symbol} NovaBa				Bay Pharmaceuticals, Inc.					5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
			[NBY] 3. Date of	. Date of Earliest Transaction					DirectorX 10% Owner				
				nth/Day/Year)					Officer (give title Other (specify below)				
				Amendment, Date Original Month/Day/Year)					 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person 				
SINGAPORI	E, U0 219539									More than One Re			
(City)	(State)	(State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned											
1.Title of Security (Instr. 3)	2. Transaction Dat (Month/Day/Year)) Execution any	med on Date, if Day/Year)	Code (Instr.	8)	4. Securit nAcquired Disposed (Instr. 3, -	(A) o 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	04/29/2013			J		1,743	A	<u>(1)</u>	2,001,743	D			

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

J

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.

D

2,005,656

3,913 А (1)

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 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. Transactio Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Tit Amou Under Secur (Instr	int of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
				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					
Pioneer Pharma (Singapore) Pte. Ltd 33A CHUNDER ROAD SINGAPORE, U0 219539		Х							
Signatures									
Xinzhou Li (Paul Li), President	11/27/2013	;							
**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).
- (1) The shares were issued pursuant to an International Distribution Agreement dated as of September 13, 2012, between the Issuer and an affiliate of the Reporting Person.

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.