SEC Form 4

Options to Purchase Common Stock

Options to Purchase Common

Stock

\$3.3⁽²⁾

\$**3.6**⁽²⁾

\$10.5⁽²⁾

\$10.8⁽²⁾

\$5.7⁽²⁾

\$9.6⁽²⁾

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

OMB APPROVAL										
OMB Number: 3235-0287										
Estimated average burden										
hours per response:	0.5									

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Section obligat	this box if no lo n 16. Form 4 o tions may conti ction 1(b).	r Form 5	•		ed pu	rsuant	to Sect	tion 1	6(a) of the Se he Investmen	curitie	es Exchan							verage burde sponse:	n 0.5
1. Name and Address of Reporting Person* HUBER RICHARD L							2. Issuer Name and Ticker or Trading Symbol <u>AquaBounty Technologies, Inc.</u> [AQB]								5. Relationship of R (Check all applicable) X Director		g Pers	10% O\	vner
(Last) (First) (Middle) C/O AQUABOUNTY TECHNOLOGIES, INC.						3. Date of Earliest Transaction (Month/Day/Year) 04/21/2017									Officer ((below)	give title		Other (below)	specify
2 MILL & MAIN PLACE, SUITE 395					4.	4. If Amendment, Date of Original Filed (Month/Day/Year)								6. Individual or Joint/Group Filing (Check Applicable Line)					
l` '	Street) MAYNARD MA 01754													X Form filed by One Reporting Person Form filed by More than One Reporting Person					
(City)	(S	State)	(Zip)																
1. Title of	2. Trans Date	sactio				Code (Instr. 5)				ed (A) or	nd Se Be Ov	s For Ily (D) bllowing (I) (: Direct	7. Nature of Indirect Beneficial Ownership (Instr. 4)				
								Code	v	Amount	(A) o (D)	r Price	Tra	Reported Transaction(s) (Instr. 3 and 4)				(mou. 4)	
Common Stock															21,311 ⁽¹⁾			D	
			Table II - I						quirea, D	ispo	osea or,		eticiali	y Own	nea				
			((e.g., p	outs	, call	ls, wa	rran	ts, option	s, c	onverti	ble secu	irities)						
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution D if any (Month/Day/	ate, T	ransa	action	S, Wal of Deriva Securi Acqui (A) or Dispos of (D) (Instr. and 5)	nber ative ities red sed 3, 4	ts, option 6. Date Exer Expiration D (Month/Day/	cisabl ate		7. Title an of Securit Underlyin Derivativo (Instr. 3 a	d Amour ties g Security	nt 8. Pr Deriv Secu	vative urity tr. 5)	9. Numbe derivative Securities Beneficia Owned Following Reported Transacti (Instr. 4)	e s dly g	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	of Indirect Beneficial Ownership (Instr. 4)
Derivative Security	Conversion or Exercise Price of Derivative	Date	3A. Deemed Execution D if any	ate, 4 Year) 8	ransa	action	5. Nun of Deriva Securi Acquir (A) or Dispos of (D) (Instr.	nber ative ities red sed 3, 4	6. Date Exer Expiration D	cisabl ate Year)		7. Title an of Securit Underlyin Derivative	d Amour ties g Security	t 8. Pr Deriv Secu (Inst t r	vative urity tr. 5)	derivative Securities Beneficia Owned Following Reported Transacti	e s dly g	Ownership Form: Direct (D) or Indirect	Beneficial Ownership (Instr. 4)
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Options to Purchase Common	Conversion or Exercise Price of Derivative Security	Date	3A. Deemed Execution D if any	ate, 4 Year) 8	l. Transa Code (1 3)	action (Instr.	5. Nun of Deriva Securi Acquii (A) or Dispo of (D) (Instr. and 5)	nber ative ities red sed 3, 4	6. Date Exer Expiration D (Month/Day/ Date Exercisable	cisabl ciate Year) E D	le and xpiration late	7. Title an of Securi Underlyin Derivative (Instr. 3 a Title	d Amour ies g Security nd 4) Amoun or Numbe of Shares	t 8. Pr Derin Secu (Inst t r	vative urity tr. 5)	derivative Securities Beneficia Owned Following Reported Transacti (Instr. 4)	e s ully j ion(s)	Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	of Indirect Beneficial Ownership (Instr. 4)
Options to Purchase Common Stock	Conversion or Exercise Price of Derivative Security \$19.5 ⁽²⁾	Date	3A. Deemed Execution D if any	ate, 4 Year) 8	l. Transa Code (1 3)	action (Instr.	5. Nun of Deriva Securi Acquii (A) or Dispo of (D) (Instr. and 5)	nber ative ities red sed 3, 4	6. Date Exer Expiration D (Month/Day/ Date Exercisable 06/27/2008 ⁽⁾	cisabl ate Year) 3) () 4) ()	ke and xpiration ate 6/27/2017	7. Title ar of Securit Underlyin Derivative (Instr. 3 a Title Common Stock	d Amour ies g 2 Security nd 4) Amoun or Numbe of Shares 800(1	ht 8. Pr Derin Secu (Inst t r)	vative urity tr. 5)	derivative Securities Beneficial Owned Following Reported Transacti (Instr. 4) 800	e s s lily j ion(s)	Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	of Indirect Beneficial Ownership (Instr. 4)

07/01/2012(7)

07/01/2013⁽⁸⁾

07/01/2014⁽⁹⁾

07/01/2015⁽¹⁰⁾

02/26/2016⁽¹¹⁾

03/01/2017⁽¹²⁾

Common

Stock

Common Stock

Common

Stock

Common Stock

Common Stock

Common Stock

07/01/2021

07/01/2022

07/01/2023

07/01/2024

02/26/2025

03/01/2026

800(1)

800(1)

800(1)

800(1)

2,500(1)

2,500⁽¹⁾

800

800

800

800

2,500

2,500

D

D

D

D

D

D

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. Transa Code (8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) 6. Date Exercisable and (Month/Day/Year) 7. Control (Month/Day/Year) 6. Date Exercisable and (Month/Day/Year) 7. Control (Month/Day/Year) 7. Control (Month/Day/Year) 7			7. Title an of Securit Underlyin Derivative (Instr. 3 ar	ies g Security	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Options to Purchase Common Stock	\$14.2	04/21/2017		A		2,500		02/27/2020 ⁽¹³⁾	04/21/2027	Common Stock	2,500	\$0	2,500	D	

Explanation of Responses:

1. Effective as of January 5, 2017, the Issuer effected a 30-for-1 reverse split of its common stock. The number of shares reflects the reverse stock split.

2. Effective as of January 5, 2017, the Issuer effected a 30-for-1 reverse split of its common stock. The price reflects the reverse stock split.

3. Options to purchase common stock were granted on 6/27/2007 pursuant to the AquaBounty Technologies, Inc. 2006 Equity Incentive Plan and have fully vested.

4. Options to purchase common stock were granted on 6/30/2008 pursuant to the AquaBounty Technologies, Inc. 2006 Equity Incentive Plan and have fully vested.

5. Options to purchase common stock were granted on 7/1/2009 pursuant to the AquaBounty Technologies, Inc. 2006 Equity Incentive Plan and have fully vested.

6. Options to purchase common stock were granted on 11/1/2010 pursuant to the AquaBounty Technologies, Inc. 2006 Equity Incentive Plan and have fully vested.
 7. Options to purchase common stock were granted on 7/1/2011 pursuant to the AquaBounty Technologies, Inc. 2006 Equity Incentive Plan and have fully vested.

Options to purchase common stock were granted on 7/1/2011 pursuant to the AquaBounty Technologies, Inc. 2006 Equity Incentive Plan and have fully vested.
 Options to purchase common stock were granted on 7/1/2012 pursuant to the AquaBounty Technologies, Inc. 2006 Equity Incentive Plan and have fully vested.

9. Options to purchase common stock were granted on 7/1/2012 pursuant to the AquaBounty Technologies, Inc. 2006 Equity Incentive Plan and have fully vested.

10. Options to purchase common stock were granted on 7/1/2014 pursuant to the AquaBounty Technologies, Inc. 2006 Equity Incentive Plan and have fully vested.

11. Options to purchase common stock were granted on 2/26/2015 pursuant to the AquaBounty Technologies, Inc. 2006 Equity Incentive Plan and have fully vested.

12. Options to purchase common stock were granted on 3/1/2016 pursuant to the AquaBounty Technologies, Inc. 2006 Equity Incentive Plan and have fully vested.

13. Options to purchase common stock were granted on 4/21/2017 pursuant to the AquaBounty Technologies, Inc. 2016 Equity Incentive Plan. Subject to continued service, vesting shall occur over three years, ending February 27, 2020, with the first year's vesting prorated between April 22, 2017, and February 27, 2018.

Remarks:

<u>/s/ David A. Frank, Name:</u> David A. Frank, attorney-infact

04/24/2017

** 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).

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.