

NovaBay Pharmaceuticals, Inc.
 Form 3
 January 08, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
 Expires: January 31, 2015
 Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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)

| | | | | | |
|---|---|---|--|---|--|
| <p>1. Name and Address of Reporting Person *</p> <p>Â Hall Justin</p> <p>(Last) (First) (Middle)</p> <p>C/O NOVABAY PHARMACEUTICALS, INC.,Â 5980 HORTON STREET, SUITE 550</p> <p>(Street)</p> <p>EMERYVILLE,Â CAÂ 94608</p> <p>(City) (State) (Zip)</p> | <p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>12/29/2015</p> | <p>3. Issuer Name and Ticker or Trading Symbol</p> <p>NovaBay Pharmaceuticals, Inc. [NBY]</p> | <p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input type="checkbox"/> 10% Owner</p> <p><input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other</p> <p>(give title below) (specify below)</p> <p>General Counsel</p> | <p>5. If Amendment, Date Original Filed(Month/Day/Year)</p> | <p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person</p> <p><input type="checkbox"/> Form filed by More than One Reporting Person</p> |
|---|---|---|--|---|--|

Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|------------------------------------|--|---|--|
| Common Stock | 400 | D | Â |

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

SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security | 4. Conversion or Exercise | 5. Ownership Form of | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---|---|--|---------------------------|----------------------|--|
|---|---|--|---------------------------|----------------------|--|

Edgar Filing: NovaBay Pharmaceuticals, Inc. - Form 3

| | Date Exercisable | Expiration Date | (Instr. 4) Title | Amount or Number of Shares | Price of Derivative Security | Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | |
|---------------------------------------|------------------|-----------------|---------------------|----------------------------|------------------------------|--|---|
| Incentive Stock Option (right to buy) | Â (1) | 02/01/2023 | Common Stock | 1,200 | \$ 30.5 | D | Â |
| Incentive Stock Option (right to buy) | Â (2) | 09/26/2023 | Common Stock | 760 | \$ 42.75 | D | Â |
| Incentive Stock Option (right to buy) | Â (3) | 09/26/2024 | Common Stock | 1,200 | \$ 18.75 | D | Â |
| Incentive Stock Option (right to buy) | Â (4) | 10/01/2025 | Common Stock | 2,000 | \$ 6.75 | D | Â |
| Restricted Stock Units | Â (5) | Â (5) | Common Stock | 1,000 | \$ (6) | D | Â |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Hall Justin
C/O NOVABAY PHARMACEUTICALS, INC.
5980 HORTON STREET, SUITE 550
EMERYVILLE, CA 94608

Â Â Â General Counsel Â

Signatures

/s/ Justin M. Hall 01/08/2016

__Signature of
Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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) Represents options granted pursuant to the 2007 Omnibus Incentive Plan. 25% vested on February 1, 2014, the first anniversary of the grant date. 6.25% vests every three months thereafter.
- (2) Represents options granted pursuant to the 2007 Omnibus Incentive Plan. 25% vested on September 26, 2014, the first anniversary of the grant date. 6.25% vests every three months thereafter.
- (3) Represents options granted pursuant to the 2007 Omnibus Incentive Plan. 25% vested on September 26, 2015, the first anniversary of the grant date. 6.25% vests every three months thereafter.
- (4) Represents options granted pursuant to the 2007 Omnibus Incentive Plan. 25% will vest on October 1, 2016, the first anniversary of the grant date. 6.25% vests every three months thereafter.
- (5) Represents restricted stock units granted on October 1, 2015 pursuant to the 2007 Omnibus Incentive Plan. 100% will vest on October 1, 2016, the first anniversary of the grant date.
- (6) Each restricted stock unit is the economic equivalent of one share of NovaBay Pharmaceuticals, Inc. common stock.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

Edgar Filing: NovaBay Pharmaceuticals, Inc. - Form 3

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.