SEC Form 4

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address Fernandez Ch	s of Reporting Person [*] arles M.		2. Issuer Name and Ticker or Trading Symbol <u>NextPlat Corp</u> [NXPL]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
(Last) (First) (Middle) C/O NEXTPLAT CORP, 3250 MARY ST., SUITE 410		, ,	3. Date of Earliest Transaction (Month/Day/Year) 07/01/2022	X X	Director Officer (give title below) Chairman	X & CH	10% Owner Other (specify below)		
			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street) COCONUT GROVE	FL	33133		X	Form filed by One Re				
(City)	(State)	(Zip)							

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	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock, par value \$0.0001 per share	07/22/2022		A		200,000	A	\$5	1,749,453 ⁽²⁾	Ι	Shares held by eApeiron Partners, LLC. ⁽¹⁾
Common Stock, par value \$0.0001 per share	09/20/2022		A		116,000	A	\$0.00	1,865,453 ⁽³⁾		Shares held by eApeiron Partners, LLC ⁽¹⁾

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)		3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transact Code (In 8)		Derivative		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	Form: Direct (D)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Stock Options	\$2.13	07/01/2022		Α		70,000		07/01/2022	07/01/2032	Common Stock	70,000(4)	\$0.00 ⁽⁵⁾	707,500	D	

Explanation of Responses:

1. Mr. Fernandez is the sole member and managing partner of eApeiron Partners LLC.

2. Includes 200,000 shares of common stock held by eApeiron Partners LLC, of which Mr. Fernandez is sole member and managing partner.

3. Includes 316,000 shares of restricted common stock held by eApeiron Partners LLC, of which Mr. Fernandez is sole and managing partner.

4. On July 1, 2022, Mr. Fernandez was granted an option to purchase 70,000 shares of common stock. The option was fully vested, issued outside of any equity compensation plan, with an exercise price of \$2.13, and a term of ten years.

5. The stock options were granted as an equity incentive award.

** Signature of Reporting Person

<u>10/06/2022</u> 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.

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