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 of Reporting Person [*] Barreto Rodney						2. Issuer Name and Ticker or Trading Symbol <u>NextPlat Corp</u> [NXPL]								(Checl	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner				
(Last) (First) (Middle)					3. Date of Earliest Transaction (Month/Day/Year) 12/14/2022									Officer (g below)	give title		Other below)	specify	
C/O NEXTPLAT CORP, 3250 MARY ST., SUITE 410				4	4. If Amendment, Date of Original Filed (Month/Day/Year)									ndividual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person					
(Street) COCONUT GROVE	COCONUT FI 33133														Form file	d by Mo	re than (One Reporti	ng Person
(City)	(St	ate)	(Zip)																
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																			
1. Title of Security (Instr. 3) 2. Transaction Date (Month/Day/Ye:						Execution Date,		Code	Transaction Code (Instr.		4. Securities Acquired (A) or Dispo (D) (Instr. 3, 4 and 5)			sposed Of	eed Of 5. Amount or Securities Beneficially Following Reported		6. Own Form: (D) or I (I) (Inst	Direct Indirect E Indirect E tr. 4) C	7. Nature of Indirect Beneficial Ownership (Instr. 4)
					Code			• v	An	nount	(A) or (D)	Pric	e	Transaction	Transaction(s) (Instr. 3 and 4)			nsu. 4)	
Common Stock 12/14/2022					/2022	2		Р		1,	085,714(1)	Α	\$1,899,999.5		1,476,085		I		Held by RLB Market nvestments, LLC ⁽²⁾
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. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5		Expiration (Month/D			7. Title and Amoun Securities Underlyi Derivative Security 3 and 4)		derlying	8. Price of Derivative Security (Instr. 5)	9. Numl derivati Securiti Benefic Owned Followi Reporte	ive ies ially ng	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
					Code	v	(A)	(D)	Date Exercis	able	Expiration Date	Title		Amount or Number of Shares		Transad (Instr. 4	ction(s)		

Held by Common RLB Market Common \$1.75 12/14/2022 12/14/2022 Р 1,085,714⁽¹⁾ 12/14/2025 1,085,714 Stock 1,085,714 (1)T Stock Investments Warrants LLC⁽²⁾

Explanation of Responses:

1. On December 14, 2022, RLB Market Investments, LLC purchased 1,085,714 units from the Issuer in a private placement for \$1.75 per unit. Each unit consists of one share of common stock and one warrant to purchase one share of common stock of the Issuer. The warrants underlying units are immediately exercisable.

2. Mr. Barreto is the president of RLB Market Investments, LLC

/s/ Rodney Barreto

** Signature of Reporting Person

12/20/2022 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.

v (A) OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

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