Edgar Filing: NATIONAL HOLDINGS CORP - Form 3

NATIONAL HOLDINGS CORP

Form 3

September 22, 2016

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

OMB APPROVAL

OMB Number:

3235-0104

Expires:

response...

January 31, 2005

0.5

Estimated average burden hours per

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)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person * Statement NATIONAL HOLDINGS CORP [NHLD] FBIO Acquisition, Inc. (Month/Day/Year) 09/12/2016 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 2 GANSEVOORT STREET, (Check all applicable) 9TH FLOOR (Street) 6. Individual or Joint/Group __X__ 10% Owner Director Officer Other Filing(Check Applicable Line) (give title below) (specify below) Form filed by One Reporting Person NEW YORK, NYÂ 10014 _X_ Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 4. Nature of Indirect Beneficial Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â $D^{(1)}$ Common Stock 7,037,482 Common Stock $I^{(2)}$ See footnote (2) 371,584 $I^{(3)}$ Common Stock See footnote (3)89,530 I (4) Common Stock 44,884 See footnote (4) Common Stock 16,294 $I^{(5)}$ See footnote (5) Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. 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)

Edgar Filing: NATIONAL HOLDINGS CORP - Form 3

1. Title of Derivative Security (Instr. 4)

Expiration Date (Month/Day/Year)

2. Date Exercisable and 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

Conversion Ownership or Exercise Price of Derivative Security

Form of Derivative Security: Direct (D)

or Indirect

(Instr. 5)

(I)

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Date Expiration Exercisable Date

Amount or Title Number of

Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
FBIO Acquisition, Inc. 2 GANSEVOORT STREET, 9TH FLOOR NEW YORK, NY 10014	Â	ÂX	Â	Â
Fortress Biotech, Inc. 2 GANSEVOORT STREET, 9TH FLOOR NEW YORK, NY 10014	Â	ÂX	Â	Â
Opus Point Partners, LLC 2 GANSEVOORT STREET, 9TH FLOOR NEW YORK, NY 10014	Â	ÂX	Â	Â
Opus Point Healthcare Innovations (Offshore) Fund Ltd. 2 GANSEVOORT STREET, 9TH FLOOR NEW YORK, NY 10014	Â	ÂX	Â	Â
WEISS MICHAEL S 2 GANSEVOORT STREET, 9TH FLOOR NEW YORK, NY 10014	ÂX	ÂX	Â	Â
ROSENWALD LINDSAY A MD 2 GANSEVOORT STREET, 9TH FLOOR NEW YORK, NY 10014	Â	ÂX	Â	Â

Signatures

FBIO Acquisition, Inc., By:_/s/ Lindsay A. Rosenwald M.D., Lindsay A. Rosenwald M.D		
**Signature of Reporting Person		
Fortress Biotech, Inc., By: /s/ Lindsay A. Rosenwald M.D., Lindsay A. Rosenwald M.D.		
**Signature of Reporting Person	Date	
Opus Point Partners, LLC, By: /s/ Michael S. Weiss, Michael S. Weiss		
**Signature of Reporting Person	Date	
Opus Point Healthcare Innovations (Offshore) Fund Ltd., By: /s/ Michael S. Weiss, Michael S. Weiss	09/22/2016	
**Signature of Reporting Person	Date	
/s/ Michael S. Weiss, Michael S. Weiss	09/22/2016	
**Signature of Reporting Person	Date	

Reporting Owners 2 /s/ Lindsay A. Rosenwald M.D., Lindsay A. Rosenwald M.D.

09/22/2016

**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).
- These securities are owned directly by FBIO Acquisition, Inc. ("FBIO Acquisition"), which may be deemed to be a member of a "group" for purposes of Section 13(d) of the Securities Exchange Act of 1934, as amended, consisting of (i) FBIO Acquisition, (ii) Fortress
- (1) Biotech, Inc. ("FBIO"), (iii) Opus Point Partners, LLC ("Opus Point Partners"), (iv) Opus Point Healthcare Innovations (Offshore) Fund Ltd. ("Opus Point Healthcare"), (v) Lindsay A. Rosenwald, M.D. and (vi) Michael S. Weiss (collectively, the "FBIO Group"), and indirectly by FBIO, by its ownership of FBIO Acquisition. Each of the members of the FBIO Group, other than FBIO Acquisition and FBIO, disclaim beneficial ownership of these securities to the extent it or he does not have a pecuniary interest therein.
- These securities are owned directly by Opus Point Partners, and indirectly by Dr. Rosenwald and Mr. Weiss, by their ownership in Opus (2) Point Partners. Each of FBIO Acquisition, FBIO and Opus Point Healthcare disclaim beneficial ownership of these securities to the extent it or he does not have a pecuniary interest therein.
 - These securities are owned directly by Opus Point Healthcare, and indirectly by Opus Point Partners and Dr. Rosenwald and Mr. Weiss,
- (3) by their ownership in Opus Point Partners. Each of FBIO Acquisition and FBIO disclaim beneficial ownership of these securities to the extent it or he does not have a pecuniary interest therein.
- (4) These securities are owned directly by Mr. Weiss. Each of other members of the FBIO Group disclaim beneficial ownership of these securities to the extent it or he does not have a pecuniary interest therein.
- (5) These securities are owned directly by Dr. Rosenwald. Each of other members of the FBIO Group disclaim beneficial ownership of these securities to the extent it or he does not have a pecuniary interest therein.

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.

Signatures 3