Richmond David S. Form 4/A December 06, 2018

## FORM 4

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

OMB Number:

5. Relationship of Reporting Person(s) to

Issuer

Check this box if no longer subject to

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Expires: January 31, 2005

3235-0287

0.5

**OMB APPROVAL** 

Section 16. Form 4 or Form 5 obligations may continue.

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

2. Issuer Name and Ticker or Trading

Symbol

burden hours per response...

Estimated average

See Instruction 1(b).

(Print or Type Responses)

Richmond David S.

1. Name and Address of Reporting Person \*

2 4 1 2 2		•	AIR INDUSTRIES GROUP [AIRI]				(Check all applicable)		
( <b>N</b>			3. Date of Earliest Transaction (Month/Day/Year) 11/30/2018				DirectorX 10% Owner Officer (give titleX Other (specify below) See Footnote 1		
Filedo			If Amendment, Date Original iled(Month/Day/Year) 2/04/2018				6. Individual or Joint/Group Filing(Check Applicable Line)  Form filed by One Reporting Person _X_ Form filed by More than One Reporting Person		
(City)	(State)	(Zip) Ta	able I - Non-	Derivative	e Secu	irities Acq	uired, Disposed o	f, or Beneficia	ally Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)		Code (Instr. 8)	4. Securi on(A) or D (Instr. 3,	ispose 4 and (A) or	ed of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock (1) (2)	11/30/2018		P	3,979	A	\$ 1.1114	70,985	I	By: Richmond Brothers 401(k) Profit Sharing Plan (3)
Common Stock (1) (2)	11/30/2018		P	525	A	\$ 1.1114	525	I	By: Matthew J. Curfman

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

### Edgar Filing: Richmond David S. - Form 4/A

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.

SEC 1474 (9-02)

> 9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Titl	e and	8. Price of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orNumber	Expiration D	ate	Amou	nt of	Derivative
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securi	ties	(Instr. 5)
	Derivative				Securities	;		(Instr.	3 and 4)	
	Security				Acquired					
					(A) or					
					Disposed					
					of (D)					
					(Instr. 3,					
					4, and 5)					
									Amount	
						Date	Expiration		or	
						Exercisable Date				
									of	
				Code V	(A) (D)				Shares	

# **Reporting Owners**

Reporting Owner Name / Address		Relationships					
and the second	Director	10% Owner	Officer	Other			
Richmond David S. 3568 WILDWOOD AVENUE JACKSON, MI 49202		X		See Footnote 1			
RBI Private Investment II, LLC 3568 WILDWOOD AVENUE JACKSON, MI 49202				See Footnote 1			
RBI Private Investment III, LLC 3568 WILDWOOD AVENUE JACKSON, MI 49202				See Footnote 1			
RBI PI Manager, LLC 3568 WILDWOOD AVENUE JACKSON, MI 49202				See Footnote 1			
Richmond Brothers 401(k) Profit Sharing Plan 3568 WILDWOOD AVENUE JACKSON, MI 49202				See Footnote 1			
Richmond Brothers, Inc. 3568 WILDWOOD AVENUE JACKSON, MI 49202		X		See Footnotes 1 and 2			
		X		See Footnote 1			

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Curfman Matthew J. 3568 WILDWOOD AVENUE JACKSON, MI 49202

# **Signatures**

By: /s/ David S. Richmond	12/06/2018			
**Signature of Reporting Person	Date			
By: RBI Private Investment II, LLC; By: RBI PI Manager, LLC, Manager; By: /s/ David S. Richmond, Manager	12/06/2018			
**Signature of Reporting Person	Date			
By: RBI Private Investment III, LLC; By: RBI PI Manager, LLC, Manager; By: /s/ David S. Richmond, Manager	12/06/2018			
**Signature of Reporting Person	Date			
By: RBI PI Manager, LLC; By: /s/ David S. Richmond, Manager	12/06/2018			
**Signature of Reporting Person	Date			
By: Richmond Brothers 401(k) Profit Sharing Plan; By: /s/ David S. Richmond, Trustee	12/06/2018			
**Signature of Reporting Person	Date			
By: Richmond Brothers, Inc.; By: /s/ David S. Richmond, Chairman				
**Signature of Reporting Person	Date			
By: /s/ Matthew J. Curfman	12/06/2018			
**Signature of Reporting Person	Date			

# **Explanation of Responses:**

- \* 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).
  - This Form 4 is filed jointly by RBI Private Investment II, LLC ("RBI PII"), RBI Private Investment III, LLC ("RBI PIII"), RBI PI Manager, LLC ("RBI Manager"), Richmond Brothers 401(k) Profit Sharing Plan ("RBI Plan"), Richmond Brothers, Inc. ("Richmond Brothers"), David S. Richmond and Matthew J. Curfman (collectively, the "Reporting Persons"). Each of the Reporting Persons may be deemed to be a member of a Section 13(d) group that may be deemed to collectively beneficially own more than 10% of the Issuer's
- outstanding shares of Common Stock. Each of the Reporting Persons disclaims beneficial ownership of the securities reported herein except to the extent of his or its pecuniary interest therein. The filing of this Form 4 shall not be deemed an admission that the Reporting Persons are, for purposes of Section 13(d) of the Securities Exchange Act of 1934, as amended, the beneficial owners of any securities of the Issuer he or it does not directly own.
- Not reported herein are securities of the Issuer held in certain accounts managed by Richmond Brothers (the "Separately Managed Accounts"). Richmond Brothers is entitled to a management fee from the Separately Managed Accounts based solely on the value of assets under management. Accordingly, neither Richmond Brothers nor any other Reporting Person has a pecuniary interest in any of the securities held in the Separately Managed Accounts for purposes of Section 16.
- (3) Represents securities directly owned by RBI Plan. Messrs. Richmond and Curfman, as trustees of RBI Plan, may be deemed to beneficially own the securities owned directly by RBI Plan.

#### **Remarks:**

This Form 4/A is being filed to amend the price information in Column 4 of Table 1 of the original Form 4 filed on December 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.

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