

NovaBay Pharmaceuticals, Inc.

Form 3

December 02, 2013

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

OMB APPROVAL

OMB  
Number: 3235-0104Expires: January 31,  
2005Estimated 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)

1. Name and Address of Reporting  
Person \*Pioneer Pharma (Hong Kong)  
Co Ltd

(Last) (First) (Middle)

FLAT 2605, 26/F TRENDY  
CENTRE,, 682 CASTLE  
PEAK ROAD

(Street)

KOWLOON, K3 00000

(City) (State) (Zip)

2. Date of Event Requiring  
Statement(Month/Day/Year)  
05/31/20133. Issuer Name and Ticker or Trading Symbol  
NovaBay Pharmaceuticals, Inc. [NBV]4. Relationship of Reporting  
Person(s) to Issuer

(Check all applicable)

☐ Director ☒ 10% Owner  
☐ Officer ☐ Other  
(give title below) (specify below)5. If Amendment, Date Original  
Filed(Month/Day/Year)6. Individual or Joint/Group  
Filing(Check Applicable Line)  
☒ Form filed by One Reporting  
Person  
☐ Form filed by More than One  
Reporting Person**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

2,001,743

I

By Pioneer Pharma (Singapore)  
Pte. Ltd. <sup>(1)</sup>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  
Security2. Date Exercisable and  
Expiration Date3. Title and Amount of  
Securities Underlying

4. Conversion

5. Ownership

6. Nature of Indirect  
Beneficial

## Edgar Filing: NovaBay Pharmaceuticals, Inc. - Form 3

(Instr. 4)	(Month/Day/Year)		Derivative Security (Instr. 4)		or Exercise Price of Derivative Security	Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Common Stock Purchase Warrant (Right to Buy)	09/13/2012	11/29/2013 <sup>(2)</sup>	Common Stock	800,000	\$ 1.5	I	By Pioneer Pharma (Singapore) Pte. Ltd. <sup>(1)</sup>
Common Stock Purchase Warrant (Right to Buy)	11/01/2012	11/29/2013 <sup>(2)</sup>	Common Stock	1,200,000	\$ 1.5	I	By Pioneer Pharma (Singapore) Pte. Ltd. <sup>(1)</sup>

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Pioneer Pharma (Hong Kong) Co Ltd FLAT 2605, 26/F TRENDY CENTRE, 682 CASTLE PEAK ROAD KOWLOON, K3 00000	^	^ X	^	^

## Signatures

Xinzhou Li (Paul Li),  
Director

11/27/2013

\_\_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) The shares and warrants are held by Pioneer Pharma (Singapore) Pte. Ltd., which is a wholly owned subsidiary of the Reporting Person.

(2) The expiration date of the warrant was extended from August 31, 2013 to November 29, 2013 pursuant to a Warrant Amendment Agreement dated May 9, 2013.

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

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