

NovaBay Pharmaceuticals, Inc.  
Form 3  
December 02, 2013

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

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2015  
Estimated 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 *            |         | 2. Date of Event Requiring Statement | 3. Issuer Name <b>and</b> Ticker or Trading Symbol                     |  |
| Pioneer Pharma (Hong Kong) Co Ltd                    |         | (Month/Day/Year)                     | NovaBay Pharmaceuticals, Inc. [NBY]                                    |  |
| (Last)   | (First) | (Middle)                             | 4. Relationship of Reporting Person(s) to Issuer                       | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| FLAT 2605, 26/F TRENDY CENTRE,, 682 CASTLE PEAK ROAD |         |                                      | (Check all applicable)   |  |
| (Street)   |         |                                      | <input type="checkbox"/> Director                                      | <input checked="" type="checkbox"/> 10% Owner        |
| KOWLOON, K3 00000                                    |         |                                      | <input type="checkbox"/> Officer                                       | <input type="checkbox"/> Other                       |
| (City)   | (State) | (Zip)                                | (give title below) (specify below)                                     |  |
|  |         |                                      | 6. Individual or Joint/Group Filing(Check Applicable Line)             |  |
|  |         |                                      | <input checked="" type="checkbox"/> Form filed by One Reporting Person |  |
|  |         |                                      | <input type="checkbox"/> 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 Security | 2. Date Exercisable and Expiration Date | 3. 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<br>(Instr. 4) |                                  | or Exercise<br>Price of<br>Derivative<br>Security | Form of<br>Derivative<br>Security:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) | Ownership<br>(Instr. 5)   |
|--|---------------------|---------------------------|-----------------------------------|----------------------------------|---|--|---|
|  | Date<br>Exercisable | Expiration Date           | Title                             | Amount or<br>Number of<br>Shares |   |  |   |
| Common Stock<br>Purchase Warrant<br>(Right to Buy) | 09/13/2012          | 11/29/2013 <sup>(2)</sup> | Common<br>Stock                   | 800,000                          | \$ 1.5  | I  | By Pioneer<br>Pharma<br>(Singapore) Pte.<br>Ltd. <sup>(1)</sup> |
| Common Stock<br>Purchase Warrant<br>(Right to Buy) | 11/01/2012          | 11/29/2013 <sup>(2)</sup> | Common<br>Stock                   | 1,200,000                        | \$ 1.5  | I  | By Pioneer<br>Pharma<br>(Singapore) Pte.<br>Ltd. <sup>(1)</sup> |

## Reporting Owners

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

## 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. 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.