Edgar Filing: PAULSON THOMAS J - Form 4/A

THOMAS J							
01, 2012							
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION							
Check this box if no longer subject to Section 16. Form 4 or Form 5 skliantions Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,						Expires:January 31 200Estimated average burden hours per response0.	
Responses)							
			ay Pharmaceuticals, Inc.	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
ABAY CEUTICALS, IN	C., 5980	(Month/	Day/Year)	Director X Officer (giv below)		% Owner her (specify	
Filed(Mon			onth/Day/Year)	Day/Year) Applicable Line)			
(State)	(Zip)	Tab	ole I - Non-Derivative Securities	Acquired, Disposed o	of, or Beneficia	lly Owned	
Security (Month/Day/Year) Execution Da (Instr. 3) any		Date, if	3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5) (A)	Securities I Beneficially (Owned (Form: Direct (D) or Indirect	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
	D1, 2012 A 4 UNITED his box lager STATEN 16. or Filed pur ons Section 17(Responses) Address of Reporting Address of Reporting THOMAS J (First) (ABAY CEUTICALS, IN STREET, SUITE (Street) ILLE, CA 94608 (State) 2. Transaction Date	D1, 2012 A 4 UNITED STATES his box ager STATEMENT OF 16. or Filed pursuant to S Section 17(a) of the F 30(h) of Responses) Address of Reporting Person * Address of Reporting Person * (First) (Middle) ABAY CEUTICALS, INC., 5980 STREET, SUITE 550 (Street) ILLE, CA 94608 (State) (Zip) 2. Transaction Date 2A. Deemed (Month/Day/Year) any	D1, 2012 A 4 UNITED STATES SECU: Wa his box higer STATEMENT OF CHAN 16. or Filed pursuant to Section 17 a) of the Public U Section 17(a) of the Public U 30(h) of the In Responses) Address of Reporting Person [*] Responses) Address of Reporting Person [*] (First) (Middle) 3. Date of (Month/ ABAY (First) (Middle) 3. Date of (Month/ ABAY O9/26/2 CEUTICALS, INC., 5980 STREET, SUITE 550 (Street) 4. If Am Filed(Month/ 10/12/2 ILLE, CA 94608 (State) (Zip) Tat 2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if	D1, 2012 A 4 UNITED STATES SECURITIES AND EXCHANGE Washington, D.C. 20549 his box ager STATEMENT OF CHANGES IN BENEFICIAL O 16. or Filed pursuant to Section 16(a) of the Securities Exchances or Filed pursuant to Section 16(a) of the Securities Exchances or Filed pursuant to Section 16(a) of the Securities Exchances or Filed pursuant to Section 16(a) of the Securities Exchances or Section 17(a) of the Public Utility Holding Company Act of Responses) Address of Reporting Person [*] 2. Issuer Name and Ticker or Trading Symbol NovaBay Pharmaceuticals, Inc. [NBY] (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) O9/26/2012 CEUTICALS, INC., 5980 STREET, SUITE 550 (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 10/12/2012 ILLE, CA 94608 3. 4. Securities (Month/Day/Year) Execution Date, if	D1, 2012 A 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 his box ager STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF I6. or Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, ons Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 Responses) Address of Reporting Person [*] 2. Issuer Name and Ticker or Trading Symbol 5. Relationship on Issuer NovaBay Pharmaceuticals, Inc. [NBY] (Che (Month/Day/Year) Director X	D1, 2012 OME A M 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION washington, D.C. 20549 OME Number: Express: his box neger STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Express: Estimated burden hou response. or Filed pursuant to Section 16(a) of the Securities Exchange Act of 1935. Filed pursuant to Section 16(a) of the Securities Exchange Act of 1935 or Section 30(h) of the Investment Company Act of 1940 Filed pursuant to Section 17(a) of the Public Utility Holding Company Act of 1940 Responses) Address of Reporting Person ⁺ 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Per Issuer Address of Reporting Person ⁺ 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Per Issuer (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Director -X_Officer (give titleOfficer below) Officer (give titleOfficer below) (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Fili Applicable Line) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficial 2. Transaction Date (Month/Day/Year) 3. 4. Securities Code 5. Amount of Director any 6. Ownership Securities Form: Direct any	

Reminder: Report on a separate line for each class of securities beneficially 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 Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

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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. Transactio Code (Instr. 8)	TransactionDerivative Code Securities		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Option (right to buy) $\frac{(1)}{(1)}$	\$ 1.22 <u>(2)</u>	09/26/2012 <u>(3)</u>		А	25,000	09/26/2013	09/26/2022	Common Stock	25,000	

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
PAULSON THOMAS J C/O NOVABAY PHARMACEUTICALS, INC. 5980 HORTON STREET, SUITE 550 EMERYVILLE, CA 94608			CFO			
Signatures						
/s/ Theresa Granados, Attorney-in-Fact for Thom Paulson	as J.	11/	01/2012			
**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).
- Twenty-five percent (25%) of the option shares vest and become exercisable on the first anniversary of the date of grant, and the balance (1) of the option shares vest and become exercisable in a series of twelve (12) equal installments upon the completion of each three (3) months beginning September 26, 2013.
- Original Form 4 filed on 10/12/2012. This amendment is filed to correct the exercise price from \$1.29 to \$1.22 the closing price on the (2)date the Compensation Committee approved the grant on September 26, 2012.

Original Form 4 filed on 10/12/2012. This amendment is filed to correct the grant date from October 10, 2012 to September 26, 2012, the

date the Compensation Committee approved the grant. There was a misunderstanding, management thought the grant will be subject to (3) Board ratification at the Board's meeting on 10/10/2012, but the Board agreed that the grant date should be September 26, 2012, the date the Compensation Committee approved the grant.

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.