

NovaBay Pharmaceuticals, Inc.

Form 3

November 20, 2012

**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 \*Â NAQU AREA PIONEER  
PHARMA CO., LTD.

(Last) (First) (Middle)

NO. 1000, WANGQIAO ROAD,  
PUDONG AREA

(Street)

SHANGHAI, P.R. OF  
CHINAÂ 201201

(City) (State) (Zip)

2. Date of Event Requiring  
Statement(Month/Day/Year)  
10/29/20123. Issuer Name **and** Ticker or Trading Symbol  
NovaBay Pharmaceuticals, Inc. [NBY]4. Relationship of Reporting  
Person(s) to Issuer5. If Amendment, Date Original  
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☒ 10% Owner  
☐ Officer ☐ Other  
(give title below) (specify below)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

800,000 <sup>(1)</sup>

I

Pioneer Pharma (Singapore) Pte.  
Ltd. is a 100% wholly-owned  
subsidiary of Naqu Area Pioneer  
Pharma C <sup>(2)</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)**

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

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Warrant <sup>(3)</sup>	09/13/2012	08/31/2012	Common Stock	800,000 <sup>(4)</sup>	\$ 1.5	I	Pioneer Pharma (Singapore) Pte. Ltd. is a 100% wholly-owned subsidiary of Naqu Area Pioneer Pharma C <sup>(5)</sup>

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
NAQU AREA PIONEER PHARMA CO., LTD. NO. 1000, WANGQIAO ROAD, PUDONG AREA SHANGHAI, P.R. OF CHINA 201201	Â	Â X	Â	Â

## Signatures

/s/ Xinzhou  
(Paul) Li

11/14/2012

<sup>\*\*</sup>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) Reporting owner has an indirect contractual right to acquire common stock (1,200,000)

The shares are held directly by Pioneer Pharma (Singapore) Pte. Ltd. Pioneer Pharma (Singapore) Pte. Ltd. is a 100% wholly-owned

(2) subsidiary of Naqu Area Pioneer Pharma Co. Ltd. and, as a result, Naqu Area Pioneer Pharma Co. Ltd. may be deemed to beneficially own the shares held by Pioneer Pharma (Singapore) Pte. Ltd.

(3) Warrant to purchase Common stock

(4) Reporting owner has an indirect right to acquire Warrants to purchase common stock (1,200,000)

The warrants are held directly by Pioneer Pharma (Singapore) Pte. Ltd. Pioneer Pharma (Singapore) Pte. Ltd. is a 100% wholly-owned

(5) subsidiary of Naqu Area Pioneer Pharma Co. Ltd. and, as a result, Naqu Area Pioneer Pharma Co. Ltd. may be deemed to beneficially own the shares held by Pioneer Pharma (Singapore) Pte. Ltd.

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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