SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL
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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 03/04/2020		Director Officer (give title below)	10% Owner Other (specify below)		
1668 S. GARFIE 2ND FLOOR	ELD AVENUE		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi X	idual or Joint/Group Filing (Check Applicable L Form filed by One Reporting Person			
(Street) ALHAMBRA	СА	91801			Form filed by More than On	e Reporting Person		
(City)	(State)	(Zip)						
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned								

1. Title of Security (Instr. 3) 2 Transaction 2A Deemed 4 Securities Acquired (A) or 5 Amount of 6 Ownershin 7 Nature of Disposed Of (D) (Instr. 3, 4 and 5) Execution Date, Transaction Form: Direct (D) Securities Indirect Date (Month/Day/Year) if any (Month/Day/Year) Beneficially Owned Beneficial Code (Instr. or Indirect (I) (Instr. 4) 8) Following Reported Ownership Transaction(s) (Instr. 4) (A) or (D) (Instr. 3 and 4) Code v Amount Price 03/09/2023 М Common Stock 62,500 Α **\$10** 62,500 D By Alliance Common Stock 270.081 T Apex, LLC⁽¹⁾

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

(e.g., puis, cans, warrants, options, convertible securities)															
1. Title of Derivative Security (Instr. 3)	erivative Conversion Date ecurity (Instr. or Exercise (Mon		3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Reported Transaction(s) (Instr. 4)		
Stock Option (right to buy)	\$10	03/04/2020		D ⁽²⁾			62,500	(2)	04/05/2020	Common Stock	62,500	(2)	0	D	
Stock Option (right to buy)	\$10	03/04/2020		A ⁽²⁾		62,500		(2)	04/05/2023	Common Stock	62,500	(2)	62,500	D	
Stock Option (right to buy)	\$10	03/09/2023		М			62,500	(3)	04/05/2023	Common Stock	62,500	\$ <u>0</u>	0	D	

Explanation of Responses:

1. These shares are owned directly by Alliance Apex, LLC, of which Reporting Person is a member and the sole manager. Reporting Person disclaims beneficial ownership of these shares except to the extent of her pecuniary interest therein, and the filing of this report is not an admission that Reporting Person is the beneficial owner of these shares for purposes of Section 16 or for any other purpose.

2. The transactions reported on Lines 1 and 2 involved an amendment of an outstanding option, resulting in the cancellation of the original option and the grant of a replacement option. The option was originally granted on April 5, 2017 and vested and became exercisable on a monthly basis over thirty six months commencing on May 5, 2017.

3. The stock options were granted on March 4, 2020 and vested and became exercisable on the date of the grant.

<u>/s/ Linda Marsh</u>

** Signature of Reporting Person

03/13/2023 Date

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

 * 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).

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

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 Number.