Frost Nevada Investments Trust Form 4

January 02, 2019

# FORM 4

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** Number:

5. Relationship of Reporting Person(s) to

(Check all applicable)

Issuer

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5 obligations

may continue.

Check this box

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 See Instruction

2. Issuer Name and Ticker or Trading

Opko Health, Inc. [OPK]

3 Date of Earliest Transaction

Symbol

(Middle)

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \*

(First)

FROST PHILLIP MD ET AL

(Last)	(First) (F	viidale) 3.	Date of Earliest	ransaction						
	Month/Day/Year)				_X_ Director	_X_ 10%				
OPKO HEA	2/31/2018				_X_ Officer (give		er (specify			
BISCAYNI	E BLVD.						below)	below)  O & Chairman		
							CEC	0 & Chairman		
	(Street)	4.	If Amendment, D	ate Origina	1		6. Individual or Joint/Group Filing(Check			
		Fi	iled(Month/Day/Yea	ar)			Applicable Line)			
							Form filed by One Reporting Person _X_ Form filed by More than One Reporting			
MIAMI, FI	L 33137						_A_ Form filed by N Person	Tore than One Re	eporung	
							1013011			
(City)	(State)	(Zip)	Table I - Non-	Derivative	Secur	ities Acq	uired, Disposed of	, or Beneficial	ly Owned	
1.Title of	2. Transaction Date	2A. Deemed	3.	4. Securit	ies Ac	quired	5. Amount of	6.	7. Nature of	
Security	(Month/Day/Year)	Execution Da	ate, if Transacti	on(A) or Di	sposed	of (D)	Securities	Ownership	Indirect	
(Instr. 3)		any	Code	(Instr. 3,	4 and	5)	Beneficially	Beneficial		
		(Month/Day/	(Year) (Instr. 8)				Owned	(D) or	Ownership	
									(Instr. 4)	
					(A)		Reported	(Instr. 4)		
					or		Transaction(s)			
			Code V	Amount	(D)	Price	(Instr. 3 and 4)			
Common							2 0 6 0 0 7 1			
Stock							3,068,951	D		
Stock										
Common									See	
	12/31/2018		P	3,964	A	\$ 2.88	24,524,141	I	Footnote	
Stock									(1)	
Common			_			\$			See	
Stock	12/31/2018		P	1,000	A	2.885	24,525,141	I	Footnote	
Stock						2.003			<u>(1)</u>	
									See	
Common	10/21/2010		D	20.026		¢ 2 00	04 555 177	T		
Stock	12/31/2018		P	30,036	A	\$ 2.89	24,555,177	I	Footnote	
									(1)	

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Common Stock	12/31/2018	P	1,800	A	\$ 2.895	24,556,977	I	See Footnote
Common Stock	12/31/2018	P	13,200	A	\$ 2.9	24,570,177	I	See Footnote
Common Stock	12/31/2018	P	6,300	A	\$ 2.925	24,576,477	I	See Footnote
Common Stock	12/31/2018	P	3,700	A	\$ 2.93	24,580,177	I	See Footnote
Common Stock	12/31/2018	P	10,000	A	\$ 2.94	24,590,177	I	See Footnote
Common Stock	12/31/2018	P	100	A	\$ 2.975	24,590,277	I	See Footnote (1)
Common Stock	12/31/2018	P	9,900	A	\$ 2.98	24,600,177	I	See Footnote (1)
Common Stock	12/31/2018	P	100	A	\$ 2.985	24,600,277	I	See Footnote
Common Stock	12/31/2018	P	14,900	A	\$ 2.99	24,615,177	I	See Footnote
Common Stock	12/31/2018	P	500	A	\$ 3.005	24,615,677	I	See Footnote (1)
Common Stock	12/31/2018	P	4,500	A	\$ 3.01	24,620,177	I	See Footnote
Common Stock	12/31/2018	P	15,000	A	\$ 3.05	24,635,177	I	See Footnote
Common Stock	12/31/2018	P	1,100	A	\$ 3.085	24,636,277	I	See Footnote (1)
Common Stock	12/31/2018	P	8,900	A	\$ 3.09	24,645,177	I	See Footnote (1)
Common Stock	12/31/2018	P	3,751	A	\$ 3.14	24,648,928	I	See Footnote

								<u>(1)</u>
Common Stock	12/31/2018	P	6,249	A	\$ 3.15	24,655,177	I	See Footnote (1)
Common Stock						164,234,443	I	See Footnote (2)
Common Stock						20,091,062	I	See Footnote (3)

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.

SEC 1474 (9-02)

> 9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	isable and	7. Title	and	8. Price of	•
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transac	tionNumber	Expiration Da	ite	Amoun	t of	Derivative	ļ
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Underly	ying	Security	
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8	) Derivative	e		Securit	ies	(Instr. 5)	1
	Derivative				Securities	3		(Instr. 3	3 and 4)		
	Security				Acquired						. 1
	•				(A) or						1
					Disposed						
					of (D)						
					(Instr. 3,						
					4, and 5)						
									Amount		
						Date	Expiration		or		
						Exercisable Date		Title Number			
									of		
				Code '	V (A) (D)				Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships							
<b></b>	Director	10% Owner	Officer	Other				
FROST PHILLIP MD ET AL OPKO HEALTH, INC. 4400 BISCAYNE BLVD. MIAMI, FL 33137	X	X	CEO & Chairman					
Frost Nevada Investments Trust 4400 BISCAYNE BLVD. MIAMI, FL 33137		X						

Reporting Owners 3

## **Signatures**

Phillip Frost, M.D., Individually and as Trustee

01/02/2019

\*\*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).

These securities are held by Frost Nevada Investments Trust, of which the Reporting Person is the trustee and Frost-Nevada, L.P. is the sole and exclusive beneficiary. The Reporting Person is one of five limited partners of Frost-Nevada, L.P. and the sole shareholder of

- (1) Frost-Nevada Corporation, the sole general partner of Frost-Nevada, L.P. The reporting person disclaims beneficial ownership of these securities, except to the extent of any pecuniary interest therein and this report shall not be deemed an admission that the reporting person is the beneficial owner of these securities for purposes of Section 16 or for any other purpose.
  - The securities are held by Frost Gamma Investments Trust, of which Phillip Frost M.D., is the trustee. Frost Gamma L.P. is the sole and exclusive beneficiary of Frost Gamma Investments Trust. Dr. Frost is one of two limited partners of Frost Gamma L.P. The general
- partner of Frost Gamma L.P. is Frost Gamma, Inc., and the sole shareholder of Frost Gamma, Inc. is Frost-Nevada Corporation. Dr. Frost is also the sole shareholder of Frost-Nevada Corporation. The reporting person disclaims beneficial ownership of these securities, except to the extent of any pecuniary interest therein and this report shall not be deemed an admission that the reporting person is the beneficial owner of these securities for purposes of Section 16 or for any other purpose.
- These securities are owned directly by The Frost Group, LLC. Frost Gamma Investments Trust is a principal member of The Frost Group, LLC. The reporting person disclaims beneficial ownership of these securities, except to the extent of any pecuniary interest therein and this report shall not be deemed an admission that the reporting person is the beneficial owner of these securities for purposes of Section 16 or for any other purpose.

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.

Signatures 4