NovaBay Pharmaceuticals, Inc.

Form 3

December 02, 2013

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

OMB APPROVAL

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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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

SECURITIES

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

owned directly or indirectly.

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person * Statement NovaBay Pharmaceuticals, Inc. [NBY] À China Pioneer Pharma (Month/Day/Year) 05/31/2013 Holdings Ltd (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 190 ELGIN AVENUE, (Check all applicable) GEORGE TOWN. (Street) 6. Individual or Joint/Group _X_ 10% Owner Director Officer Other Filing(Check Applicable Line) (give title below) (specify below) _X_ Form filed by One Reporting Person **GRAND** Form filed by More than One CAYMAN, E9Â KY1-9005 Reporting Person

(City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security 2. Amount of Securities 3. 4. Nature of Indirect Beneficial

(Instr. 4) Beneficially Owned Ownership Ownership (Instr. 4) Form: (Instr. 5)

Direct (D) or Indirect (I) (Instr. 5)

SEC 1473 (7-02)

Common Stock 2,001,743 I By Pioneer Pharma (Singapore)

Pte. Ltd. (1)

Reminder: Report on a separate line for each class of securities beneficially

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

6. Nature of Indirect 1. Title of Derivative 3. Title and Amount of 2. Date Exercisable and Beneficial Security **Expiration Date** Securities Underlying Conversion Ownership (Month/Day/Year) (Instr. 4) **Derivative Security** or Exercise Form of Ownership

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| | Date Exercisable | Expiration Date | (Instr. 4) Title | Amount or Number of Shares | Price of Derivative Security | Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | (Instr. 5) |
|--|---------------------|-----------------------|---------------------|----------------------------------|------------------------------------|---|--|
| Common Stock Purchase Warrant (Right to Buy) | 09/13/2012 | 11/29/2013 <u>(2)</u> | Common Stock | 800,000 | \$ 1.5 | I | By Pioneer Pharma (Singapore) Pte. Ltd. (1) |
| Common Stock Purchase Warrant (Right to Buy) | 11/01/2012 | 11/29/2013(2) | Common Stock | 1,200,000 | \$ 1.5 | I | By Pioneer Pharma (Singapore) Pte. Ltd. (1) |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | |
|--|---------------|-----------|---------|-------|--|--|
| Fg | Director | 10% Owner | Officer | Other | | |
| China Pioneer Pharma Holdings Ltd 190 ELGIN AVENUE, GEORGE TOWN, GRAND CAYMAN, E9 KY1-9005 | Â | ÂX | Â | Â | | |

Signatures

Xinzhou Li (Paul Li), CEO and Chairman

**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 Pioneer Pharma (Hong Kong) Company Limited, 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.

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