SEC Form 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

1. Name and Address of Reporting Person* Olsen Angela M					2. Issuer Name and Ticker or Trading Symbol <u>AquaBounty Technologies, Inc.</u> [AQB]								5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner Officer (give title Other (specify					
	UABOUNT	irst) TY TECHNOLO LACE, SUITE 3		L	3. Date of Earliest Transaction (Month/Day/Year) 03/14/2022								General Counsel & Corp Sec					
(Street) MAYNA	ARD M	IA	01754	.	4. If Amendment, Date of Original Filed (Month/Day/Year)						6. Ind Line) X							
(City)	(5	state)	(Zip)															
1. Title of Security (Instr. 3) 2. Tran Date				2. Transac	tion	2A. Deemed Execution Date, if any (Month/Day/Year)		te, 3. Code	r, Transaction Disposed Of (D) (Instr. 3, Code (Instr.					5. Amour Securities Beneficia Owned F	Form ly (D) o		Direct I Indirect I str. 4)	7. Nature of Indirect Beneficial Ownership
								Code	v	Amount	nt (A) or P		Price	Reported Transacti (Instr. 3 a	on(s)			(Instr. 4)
Common	Common Stock												30,0	30,043(1)		D		
Common	Stock													5,938 ⁽²⁾ D			D	
Common Stock 03/1			03/14/2	4/2022		Α		9,013 ⁽³⁾ A		\$0.00	9,013			D				
			Table II - I (quired, I ts, optio						wned				
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security		3A. Deemed Execution Da if any (Month/Day/Y	te, Trans Code	saction (Instr.	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exerci Expiration Dat (Month/Day/Ye		ble and	7. Title and A of Securities Underlying D Security (Inst 4)		ount vative	8. Price of Derivative Security (Instr. 5)	9. Number derivative Securities Beneficial Owned Following Reported Transactio (Instr. 4)	ve es ally ig d tion(s)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownershi (Instr. 4)
				Code	v	(A)	(D)	Date Exercisabl		xpiration ate	Title		ount or iber of res					
Options to Purchase Common Stock	\$2.33							11/01/2020	(4) 1	1/01/2029	Common Stock	35,	,000		35,000	0	D	
Options to Purchase Common Stock	\$6.72							03/10/202	4 0	3/10/2031	Common Stock	5,1	.95(5)		5,195	5	D	

Explanation of Responses:

\$1.52

03/14/2022

1. Award of restricted stock pursuant to the Issuer's 2016 Equity Incentive Plan that fully vested on October 31, 2020.

2. Award of restricted stock granted on 3/10/2021 pursuant to the AquaBounty Technologies, Inc. 2016 Equity Incentive Plan that vests immediately as to 1/3 of the grant, with an additional 1/3 vesting 1 year after the grant, and the final 1/3 vesting 2 years after the date of grant.

03/14/2025

3. Award of restricted stock granted on 3/14/2022 pursuant to the AquaBounty Technologies, Inc. 2016 Equity Incentive Plan that vests immediately as to 1/3 of the grant, with an additional 1/3 vesting 1 year after the grant, and the final 1/3 vesting 2 years after the date of grant.

4. Options to purchase common stock were granted on 11/1/2019 pursuant to the AquaBounty Technologies, Inc. 2016 Equity Incentive Plan and fully vested October 31, 2020.

23,658

5. Options to purchase common stock were granted on 3/10/2021 pursuant to the AquaBounty Technologies, Inc. 2016 Equity Incentive Plan and fully vest three years after the date of grant.

6. Options to purchase common stock were granted on 3/14/2022 pursuant to the AquaBounty Technologies, Inc. 2016 Equity Incentive Plan and fully vest three years after the date of grant.

Remarks:

Options to Purchase

Common Stock

General Counsel and Corporate Secretary

/s/ David A. Frank, Name:

Common

Stock

03/14/2032

23,658(6)

\$0.00

23,658

03/14/2022

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David A. Frank, attorney-in-fact
** Signature of Reporting Person 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).

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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.