SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL	
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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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*	2. Date of Event Requiring Statement (Month/Day/Year)	3. Issuer Name **and** Ticker or Trading Symbol
UNIVEST SECURITIES, LLC (Last) (First) (Middle) 75 ROCKEFELLER PLAZA SUITE 25A (Street) NEW YORK NY 10019 (City) (State) (Zip)	04/07/2026	AQUABOUNTY TECHNOLOGIES INC [AQB] Foreign Trading Symbol

4. Relationship of Reporting Person(s) to Issuer (Check all applicable)	5. If Amendment, Date of Original Filed (Month/Day/Year)
Director ☐ 10% Owner Officer (give title below) ☐ Other (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)

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

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: 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			
Series A Convertible Preferred Stock, par value $0.01 per SH	04/07/2026(1)	(2)	Common Stock	1,300,020(1)	0.9129(3)	D	

1. Name and Address of Reporting Person*
UNIVEST SECURITIES, LLC (Last) (First) (Middle) 75 ROCKEFELLER PLAZA SUITE 25A (Street) NEW YORK NY 10019 (City) (State) (Zip)

1. Name and Address of Reporting Person*
Guo Yi (Last) (First) (Middle) 75 ROCKEFELLER PLAZA SUITE 25A (Street) NEW YORK NY 10019 (City) (State) (Zip)

Explanation of Responses:

1. The securities reported herein are held directly by Univest Securities LLC. Univest Group, Inc. is the parent holding company of Univest Securities LLC and owns all of its outstanding equity interests. Yi (Edric) Guo is the Chief Executive Officer of Univest Securities LLC and owns approximately 49.7% of the outstanding Class A Common Stock of Univest Group, Inc. As a result of these relationships, Mr. Guo may be deemed to beneficially own the securities held directly by Univest Securities LLC. Mr. Guo disclaims beneficial ownership of such securities except to the extent of his pecuniary interest therein, if any.

2. The Series A Convertible Preferred Stock, par value $0.01 per share (the "Series A Preferred Stock") is convertible at the holder's election at any time on or after its date of issuance and has no stated expiration date.

3. Each share of Series A Preferred Stock is initially convertible into 20 shares of Common Stock, determined by dividing the $18.2580 per-share Liquidation Value by the initial Conversion Price of $0.9129 per share. Accordingly, the 65,001 shares of Series A Preferred Stock reported herein were initially convertible into 1,300,020 shares of Common Stock.

/s/ Edric Guo, Title: Manager	11/16/2026
/s/ Edric Guo	11/16/2026
** 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 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).

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.