SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL	
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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

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

☐ Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan for the purchase or sale of equity securities of the issuer that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.

1. Name and Address of Reporting Person*	2. Issuer Name **and** Ticker or Trading Symbol	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)
UNIVEST SECURITIES, LLC	AQUABOUNTY TECHNOLOGIES INC [AQB]	☐ Director ☑ 10% Owner ☐ Officer (give title below) ☐ Other (specify below)
(Last) (First) (Middle): 75 ROCKEFELLER PLAZA 3RD FLOOR	Foreign Trading Symbol	
(Street): NEW YORK NY 10019	3. Date of Earliest Transaction (Month/Day/Year): 10/23/2026	6. Individual or Joint/Group Filing (Check Applicable Line) ☐ Form filed by One Reporting Person ☑ Form filed by More than One Reporting Person
(City) (State) (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Common Stock, par value $0.001 per share	10/23/2026		C		1,422,472[1]	A	$0	1,422,472	D[1]	

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	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 Reported Transaction(s) (Instr. 4)	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				
Series A Convertible Preferred Stock	$0.9129[2]	10/23/2026		C			65,001	(3)	(3)	Common Stock	1,422,472[1]	$0	0	D	

1. Name and Address of Reporting Person*
UNIVEST SECURITIES, LLC
(Last) (First) (Middle): 75 ROCKEFELLER PLAZA 3RD FLOOR
(Street): NEW YORK NY 10019
(City) (State) (Zip)

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

Explanation of Responses:

1. On October 23, 2026, upon effectiveness of the Issuer's resale registration statement on Form S-3, all 65,001 shares of Series A Convertible Preferred Stock held directly by Univest Securities LLC, together with accrued and unpaid dividends through October 15, 2026, automatically converted into 1,422,472 shares of the Issuer's common stock at a conversion price of $0.9129 per share. 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. Each share of Series A Preferred Stock had a liquidation value of $18.2580 and was convertible based on a conversion price of $0.9129 per share of Common Stock. The 1,422,472 shares of Common Stock issued upon conversion represented the 1,300,020 shares of Common Stock initially underlying the 65,001 shares of Series A Preferred Stock, plus additional shares attributable to accrued and unpaid dividends through October 15, 2026.

3. The Series A Preferred Stock was convertible at the holder's election at any time on or after its date of issuance and had no stated expiration date.

/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 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.