SEC Form 4

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FORM 4

Check this box if no longer subject

to Section 16. Form 4 or Form 5 obligations may continue. See

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

Instruction 1(b	o).		Filed pursuant to Section 16(a) of the Securities Exchange Act of 19 or Section 30(h) of the Investment Company Act of 1940	134
1. Name and Add <u>KIRK ALA</u>		g Person [*]	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) X Director X 10% Owner
(Last) 1881 GROVE	· · · · ·	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 12/17/2020	Officer (give title Other (specify below) below)
ATTN: LEGA	L DEPARIM	ENT	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)
(Street)				X Form filed by One Reporting Person
RADFORD	VA	24141		Form filed by More than One Reporting Person
(City)	(State)	(Zip)		

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	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership (Instr.
			Code	v	Amount	(A) or (D)	Price	 Reported Transaction(s) (Instr. 3 and 4) 	(Instr. 4)	4)
Common Stock								2,159	D	
Common Stock								3,199	Ι	by ADC 2010 ⁽¹⁾
Common Stock								99,537	I	by Kapital Joe ⁽¹⁾
Common Stock								4,659	I	by Staff 2001 ⁽¹⁾
Common Stock								880	Ι	by Sr. Staff ⁽¹⁾
Common Stock								20	I	by Lotus ⁽¹⁾
Common Stock								5,775	Ι	by Third Security ⁽¹⁾
Common Stock								1,770	Ι	by Sr. Staff 2006 ⁽¹⁾
Common Stock								885	I	by Staff 2006 ⁽¹⁾
Common Stock								295	I	by Incentive 2006 ⁽¹⁾
Common Stock								8,239,199	I	by TS AquaCulture ⁽¹⁾
Common Stock								9,175,000	Ι	by TS Bio ⁽¹⁾
Common Stock								74,765	I	by Sr. Staff 2007 ⁽¹⁾
Common Stock								37,383	I	by Staff 2007 ⁽¹⁾
Common Stock								12,461	I	by Incentive 2007 ⁽¹⁾

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of Derivative 3. Transaction Date 3A. Deemed Execution Date, 5. Number of 6. Date Exercisable and Expiration Date 7. Title and Amount of 8. Price of Derivative 11. Nature of Indirect 9. Number of 10. Ownership 2. Conversion Transaction derivative Security (Instr. 3) or Exercise Price of (Month/Day/Year) if any (Month/Day/Year) Code (Instr. 8) Derivative Security (Instr. 5) Securities Beneficially Form: Direct (D) (Month/Day/Year) Securities Beneficial Securities Acquired (A) or Disposed Underlying Ownership Derivative or Indirect (I) (Instr. 4) (Instr. 4) Derivative Owned Security (Instr. 3 and 4) Following Reported Security of (D) (Instr. 3, 4 and 5) Transaction(s) (Instr. 4) Amount or Number Expiration Date of Code v (A) (D) Exercisable Date Title Shares

Explanation of Responses:

1. The Reporting Person's spouse, Randal J. Kirk controls each of R.J. Kirk DOT, JPK 2009, MGK 2009, ZSK 2009, JPK 2008, MGK 2008, ZSK 2008, MGK 2011, JPK 2012, Kellie L. Banks LTT, Staff 2010, Staff 2009, Sr. Staff 2008, Incentive 2009, and Incentive 2010. Shares held by these entities may be deemed to be beneficially owned (as defined under Rule 13d-3 promulgated under the Securities Exchange Act of 1934, as amended) by Mr. Kirk. Mr. Kirk disclaims beneficial ownership of such shares, except to the extent of any pecuniary interest therein.

/s/ Alana D. Kirk

** Signature of Reporting Person Date

<u>12/21/2020</u>

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.