

# SECURITIES & EXCHANGE COMMISSION EDGAR FILING

**Surna Inc.**

**Form: 4**

**Date Filed: 2018-11-13**

Corporate Issuer CIK: 1482541

## FORM 4

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

OMB APPROVAL

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

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

## STATEMENT OF CHANGES IN 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

(Print or Type Responses)

|                                                               |                                            |                                                                                  |                                      |                                                                                                                                                                                                                                                                           |        |                                                                                                     |                                                                         |                                                                   |
|---------------------------------------------------------------|--------------------------------------------|----------------------------------------------------------------------------------|--------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|-----------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|-------------------------------------------------------------------|
| 1. Name and Address of Reporting Person<br>Simonton Taylor J. |                                            | 2. Issuer Name and Ticker or Trading Symbol<br>Surna Inc. [SRNA]                 |                                      | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br><input checked="" type="checkbox"/> Director<br><input type="checkbox"/> Officer (give title below)<br><input type="checkbox"/> 10% Owner<br><input type="checkbox"/> Other (specify below) |        |                                                                                                     |                                                                         |                                                                   |
| (Last) (First) (Middle)<br>5170 S. HANOVER WAY                |                                            | 3. Date of Earliest Transaction (Month/Day/Year)<br>11/08/2018                   |                                      |                                                                                                                                                                                                                                                                           |        |                                                                                                     |                                                                         |                                                                   |
| (Street)<br>ENGLEWOOD, CO 80111                               |                                            | 4. If Amendment, Date Original Filed(Month/Day/Year)                             |                                      | 6. Individual or Joint/Group Filing(Check Applicable Line)<br><input checked="" type="checkbox"/> Form filed by One Reporting Person<br><input type="checkbox"/> 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<br>(Instr. 3)                            | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year)                      | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5)                                                                                                                                                                                                   |        | 5. Amount of Securities Beneficially Owned<br>Following Reported Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|                                                               |                                            |                                                                                  | Code                                 | V                                                                                                                                                                                                                                                                         | Amount | (A) or<br>(D)                                                                                       | Price                                                                   |                                                                   |
| Common Stock, par value \$0.00001 per<br>share (1)            | 11/08/2018                                 | 11/08/2018                                                                       | A                                    |                                                                                                                                                                                                                                                                           | 60,000 | A                                                                                                   | (1)                                                                     | 243,694                                                           |
|                                                               |                                            |                                                                                  |                                      |                                                                                                                                                                                                                                                                           |        |                                                                                                     |                                                                         |                                                                   |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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 control number.

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

|                                                     |                                                                    |                                            |                                                             |                                      |                                                                                                        |                                                                |     |                                                                     |                    |                                                     |                                                                                                                            |                                                                                                       |                                                                    |
|-----------------------------------------------------|--------------------------------------------------------------------|--------------------------------------------|-------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|-----|---------------------------------------------------------------------|--------------------|-----------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4, and 5) | 6. Date Exercisable<br>and Expiration Date<br>(Month/Day/Year) |     | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |                    | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>Derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10. Ownership<br>Form of<br>Derivative<br>Security:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|                                                     |                                                                    |                                            |                                                             | Code                                 | V                                                                                                      | (A)                                                            | (D) | Date<br>Exercisable                                                 | Expiration<br>Date | Title                                               | Amount or<br>Number of Shares                                                                                              |                                                                                                       |                                                                    |

## Reporting Owners

| Reporting Owner Name / Address                                   | Relationships |           |         |       |
|------------------------------------------------------------------|---------------|-----------|---------|-------|
|                                                                  | Director      | 10% Owner | Officer | Other |
| Simonton Taylor J.<br>5170 S. HANOVER WAY<br>ENGLEWOOD, CO 80111 | X             |           |         |       |

## Signatures

|                               |            |
|-------------------------------|------------|
| /s/ J. Taylor Simonton        | 11/13/2018 |
| Signature of Reporting Person | Date       |

## Explanation of Responses:

\* 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).

(1) On November 8, 2018, the Issuer's board of directors approved the issuance of 60,000 shares of common stock in lieu of the cash payment of \$7,500 of retainer fees for services as a director, based on a closing price of Issuer's common stock of \$0.125 on November 7, 2018.

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.

FORM 4

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

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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STATEMENT OF CHANGES IN 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

(Print or Type Responses)

1. Name and Address of Reporting Person  
Simonton Taylor J.

(Last)(First)(Middle)

5170 S. HANOVER WAY

(Street)

ENGLEWOOD, CO 80111

(City)(State)(Zip)

2. Issuer Name and Ticker or Trading Symbol  
Surna Inc. [SRNA]

3. Date of Earliest Transaction (Month/Day/Year)  
11/08/2018

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer  
(Check all applicable)  

X

Director

10% Owner

Officer (give title below)

Other (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line)  

X

Form filed by One Reporting Person

Form filed by More than One Reporting Person

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

| 1. Title of Security<br>(Instr. 3)              | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed Execution Date, if any<br>(Month/Day/Year) | 3. Transaction Code<br>(Instr. 8) |   | 4. Securities Acquired (A) or Disposed of (D)<br>(Instr. 3, 4 and 5) |   | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I)<br>(Instr. 4) | 7. Nature of Indirect Beneficial Ownership<br>(Instr. 4) |
|-------------------------------------------------|-----------------------------------------|-------------------------------------------------------|-----------------------------------|---|----------------------------------------------------------------------|---|--------------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------------------------------|
| Common Stock, par value \$0.00001 per share (1) | 11/08/2018                              | 11/08/2018                                            | A                                 | V | 60,000                                                               | A | (1)243,694                                                                                       | D                                                           |                                                          |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474 (9-02)

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

| 1. Title of Derivative Security<br>(Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed Execution Date, if any<br>(Month/Day/Year) | 4. Transaction Code<br>(Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D)<br>(Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of Underlying Securities<br>(Instr. 3 and 4) | 8. Price of Derivative Security<br>(Instr. 5) | 9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s)<br>(Instr. 4) | 10. Ownership Form of Derivative Security: Direct (D) or Indirect (I)<br>(Instr. 4) | 11. Nature of Indirect Beneficial Ownership<br>(Instr. 4) |
|-----------------------------------------------|--------------------------------------------------------|-----------------------------------------|-------------------------------------------------------|-----------------------------------|--------------------------------------------------------------------------------------------|-------------------------------------------------------------|------------------------------------------------------------------|-----------------------------------------------|-------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|-----------------------------------------------------------|
|                                               |                                                        |                                         |                                                       | Code                              | V                                                                                          | (A)(D)                                                      | Date ExercisableExpiration Date                                  | Title                                         | Amount or Number of Shares                                                                            |                                                                                     |                                                           |

Reporting Owners

| Reporting Owner Name / Address                                   | Director | 10% Owner | Officer | Other |
|------------------------------------------------------------------|----------|-----------|---------|-------|
| Simonton Taylor J.<br>5170 S. HANOVER WAY<br>ENGLEWOOD, CO 80111 | X        |           |         |       |

Signatures

/s/ J. Taylor Simonton

Signature of Reporting Person

11/13/2018

Date

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