

SECURITIES & EXCHANGE COMMISSION EDGAR FILING

Surna Inc.

Form: 4

Date Filed: 2019-01-14

Corporate Issuer CIK: 1482541

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* | | | 2. Issuer Name and Ticker or Trading Symbol Surna Inc. [SRNA] | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | |
| Simonton Taylor J. (Last) (First) (Middle) 5170 S. HANOVER WAY (Street) | | | 3. Date of Earliest Transaction (Month/Day/Year) 01/14/2019 | | | | <input checked="" type="checkbox"/> Director <input type="checkbox"/> Officer (give title below) <input type="checkbox"/> 10% Owner <input type="checkbox"/> Other (specify below) | | | | |
| ENGLEWOOD, CO 80111 (City) (State) (Zip) | | | 4. If Amendment, Date Original Filed (Month/Day/Year) | | | | 6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person | | | | |
| 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 \$0.00001 per share (1) | 01/14/2019 | 01/14/2019 | A | 493,422 | A (1) | 737,116 | | D | | | |

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.

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 (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 Underlying Securities (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 of Derivative Security: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
| | | | | | | Code | V | (A) | (D) | | | | |

Reporting Owners

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

Signatures

/s/ J. Taylor Simonton 01/14/2019
 **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).
- On January 10, 2019, the Issuer's board of directors approved: (a) the issuance of 98,685 shares of common stock in lieu of the cash payment of \$7,500 of retainer fees for services as a director for (1) the period October 1, 2018 to December 31, 2018, based on a closing price of Issuer's common stock of \$0.076 on January 9, 2019, and (b) the issuance of 394,737 shares of common stock for 2019 director fees of \$30,000 payable in equity, based on a closing price of Issuer's common stock of \$0.076 on January 9, 2019.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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(Print or Type Responses)

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|---|---|---|--|---------|-----------------------------------|---------------------|--|--|---|--|---|--|
| 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] | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director <input type="checkbox"/> Officer (give title below) <input type="checkbox"/> 10% Owner <input type="checkbox"/> Other (specify below) | | | | | |
| | | | 3. Date of Earliest Transaction (Month/Day/Year) 01/14/2019 | | | | | | | | | |
| | | | 4. If Amendment, Date Original Filed (Month/Day/Year) | | | | 6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person | | | | | |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | | | | | | |
| 1. Title of Security (Instr. 3) Common Stock, par value \$0.00001 per share (1) | 2. Transaction Date (Month/Day/Year) 01/14/2019 | 3A. Deemed Execution Date, if any (Month/Day/Year) 01/14/2019 | 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) D | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
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| | | | A | 493,422 | A | (1) | 737,116 | | | | | |

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| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |
| | | | | | | | | | | | | | | | |

Reporting Owners

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

Signatures

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