SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

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 Add STAHL MU		ting Person [*]					ame and Pacific								elationship of F ck all applicab		ig Person((s) to Issue	r
<u></u>											Day/Year)			2	C Director Officer (g	ivo titlo		10% C	Owner (specify
(Last) C/O HORIZO	(First) N KINETIC		liddle)			/14/20					(Maria) (Daria) (M			0.1-	below)			below)
470 PARK AV	E S 8TH F	LS			_ 4. lt	f Ameno	iment, Da	ate of O	riginal	I Filed	(Month/Day/Ye	ear)				d by Or	ne Reporti	ng Person	,
(Street) NEW YORK	NY	10	0016											2	Form file	d by Mo	ore than C	ne Report	ing Person
(City)	(State)	(Zi	ip)		-														
		Та	able I - I	Non-De	rivati	ve Se	curitie	s Acc	quire	d, Di	sposed of	, or Ber	neficia	lly O	wned				
1. Title of Securit	ty (Instr. 3)			2. Transa Date (Month/D		r) if an	Deemed cution Dat y nth/Day/Ye	C	ransac ode (Ir		4. Securities A Disposed Of ()	5. Amount of Securities Beneficially C Following Re)wned ported	6. Owner Form: Di or Indire (Instr. 4)	irect (D) I ct (I) E	. Nature of ndirect seneficial Ownership
								c	ode	v	Amount	(A) or (D)	Price		Transaction(s (Instr. 3 and 4			(nstr. 4)
Common Stock	C .			12/14	/2022				Р		1	A	\$2,55	6.94	43,242	(1)	I		Polestar Offshore Fund Ltd
Common Stock	ſ			12/14	/2022				Р		1	A	\$2,58	0.99	1,644()	1)	I		Horizon Credit Opportunity Fund LP
Common Stock	C .			12/14	/2022				Р		2	A	\$2,5	571	104,641	(1)	I	H	Iorizon Kinetics Iard Assets LLC
Common Stock	C			12/14	/2022				Р		2	A	\$2,5	571	1,491()	l)	I		Horizon Common Inc
Common Stock	2			12/14	/2022				Р		2	Α	\$2,5	571	1,930	2)	E		
Common Stock	Σ.			12/14	/2022				Р		12	A	\$2,57	0.32	197,0940	3)(4)	I	 	Horizon Kinetics Asset Managemen LLC
Common Stock	Σ.														1,472()	1)	I	H	Horizon Kinetics Hard Assets I LLC
Common Stock	C														2,484(l)	I		CDK Partners LP
Common Stock															5,5490	1)	I		CDK Fund Ltd
Common Stock	(60 ⁽¹⁾		I	5	Spouse
			Table I	l - Deriv (e. <u>q</u>	vative puts	e Secu , calls	urities / s, warra	Acqui ants,	ired, optie	Disp ons,	oosed of, o convertible	or Bene e secur	ficially 'ities)	Ow	ned				
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deer Executio if any (Month/E	ned	4. Transa Code (8)	action	5. Numl Derivati Securiti Acquire or Disp (D) (Ins and 5)	ber of ive ies ed (A) osed of	6. D Exp (Mo	ate Ex	ercisable and	7. Title a Securitie	nd Amou es Underl ve Securi and 4)	ying ty	8. Price of Derivative Security (Instr. 5)	deriva Securi Benefi Owner Follow Repor	ities icially d ving	10. Ownershij Form: Direct (D) or Indirect (I) (Instr. 4	Beneficial Ownership (Instr. 4)
			1						1		1		Am	ount		(Instr.			1

Date Exercisable

(D)

Code v (A) Expiration Date

Title

or Number of Shares

(Last)	(First)	(Middle)
C/O HORIZON H	KINETICS LLC	
470 PARK AVE	S 8TH FL S	
(Street)		
NEW YORK	NY	10016
(City)	(State)	(Zip)
	s of Reporting Person [*]	MANAGEMENT
		<u>MANAGEMENT</u>
HORIZON KI		<u>MANAGEMENT</u> (Middle)
HORIZON KI LLC	INETICS ASSET	
HORIZON KI	(First)	
HORIZON KI LLC (Last) 470 PARK AVE	(First)	
HORIZON KI LLC (Last) 470 PARK AVEN 4TH FLOOR SO (Street)	(First)	
HORIZON KI LLC (Last) 470 PARK AVE 4TH FLOOR SO (Street)	(First) NUE SOUTH UTH	(Middle)

Explanation of Responses:

1. The amount of common shares of the Issuer reported excludes other accounts in which Mr. Stahl has a non-controlling interest and does not exercise investment discretion. These accounts are managed by Horizon Kinetics Asset Management LLC ("Horizon"), in which Mr. Stahl serves as Chairman, Chief Executive Officer and Chief Investment Officer but does not participate in investment decisions with respect to the securities of the Issuer. Mr. Stahl disclaims beneficial ownership except to the extent of his pecuniary interest, if any.

2. Mr. Stahl does not exercise investment discretion with respect to the securities of the Issuer. These accounts are managed by Horizon Kinetics Asset Management LLC ("Horizon"), in which Mr. Stahl serves as Chairman, Chief Executive Officer and Chief Investment Officer but does not participate in investment decisions with respect to the securities of the Issuer.

3. The amount reported as held following the transaction excludes approximately 1,274,576 shares as noted in Horizon's Schedule 13D filed on February 2, 2022, for which Horizon does not have a pecuniary interest and also excludes shares purchased by portfolio managers and other employees of the firm for their personal accounts.

4. The amount of common shares of the Issuer reported excludes partnerships and other accounts in which Mr. Stahl has a controlling interest and are reported separately. These accounts are managed by Horizon, in which Mr. Stahl serves as Chairman, Chief Executive Officer and Chief Investment Manager but does not participate in investment decisions with respect to the securities of the Issuer. Mr. Stahl disclaims beneficial ownership except to the extent of his pecuniary interest, if any.

<u>/s/Jay Kesslen, attorney-in-fact</u> ** Signature of Reporting Person

<u>12/15/2022</u> 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.