

Root Joseph Ernest JR
Form 4
November 08, 2018

FORM 4 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, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
Root Joseph Ernest JR

2. Issuer Name and Ticker or Trading Symbol
ALLIED HEALTHCARE PRODUCTS INC [AHPI]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

Director 10% Owner
 Officer (give title below) Other (specify below)

QUALIPAT, 1809 JONES COVE RD.

(Street)

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

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

Form filed by One Reporting Person
 Form filed by More than One Reporting Person

CLYDE, NC 28721

(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 Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | | (A) or (D) Code V Amount (D) Price | | | |
| Common Stock | | | | | 500 | D | |
| Common Stock | | | | | 500 | I | Individual Retirement Account |

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

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SEC 1474 (9-02)

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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. Fair Value of Derivative Security (Instr. 3 and 4) | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|---|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Option to purchase common stock | \$ 8.1 | | | | | 11/13/2009 | 11/13/2018 | Common Stock | 750 |
| Option to purchase common stock | \$ 10.08 | | | | | 11/13/2010 | 11/13/2019 | Common sock | 750 |
| Option to purchase common stock | \$ 8.68 | | | | | 11/11/2011 | 11/11/2020 | Common stock | 750 |
| Option to purchase common stock | \$ 7.1 | | | | | 11/10/2012 | 11/10/2021 | Common stock | 750 |
| Option to purchase common stock | \$ 5.18 | | | | | 11/08/2013 | 11/08/2022 | Common stcok | 750 |
| Option to purchase common stock | \$ 4.62 | | | | | 11/14/2014 | 11/14/2023 | Common stock | 750 |
| Option to purchase common stock | \$ 3.16 | | | | | 11/13/2015 | 11/13/2024 | Common stock | 750 |
| Option to purchase common | \$ 2.34 | | | | | 11/12/2016 | 11/12/2025 | Common stock | 750 |

stock

| | | | | | | | | |
|---------------------------------|---------|--|--|--|------------|------------|--------------|-----|
| Option to purchase common stock | \$ 2.26 | | | | 11/10/2017 | 11/10/2026 | Common stock | 750 |
|---------------------------------|---------|--|--|--|------------|------------|--------------|-----|

| | | | | | | | | |
|---------------------------------|---------|--|--|--|------------|------------|--------------|-----|
| Option to purchase common stock | \$ 2.22 | | | | 11/09/2018 | 11/09/2027 | Common stock | 750 |
|---------------------------------|---------|--|--|--|------------|------------|--------------|-----|

| | | | | | | | | |
|---------------------------------|---------|------------|---|-----|------------|------------|--------------|-----|
| Option to purchase common stock | \$ 2.13 | 11/08/2018 | A | 750 | 11/08/2019 | 11/08/2028 | Common stock | 750 |
|---------------------------------|---------|------------|---|-----|------------|------------|--------------|-----|

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Root Joseph Ernest JR QUALIPAT 1809 JONES COVE RD. CLYDE, NC 28721 | | X | | |

Signatures

| | |
|---|------------|
| Joseph E. Root | 11/08/2018 |
| <u> </u> **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) (1) - Issued pursuant to the Company's 2013 Director's Stock Option Plan.

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.