

Lividini Jaqui
Form 4/A
November 08, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
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, 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 *
Lividini Jaqui

2. Issuer Name and Ticker or Trading Symbol
CHARLES & COLVARD LTD
[CTHR]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
27 EAST 95TH STREET
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
12/11/2017

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

NEW YORK, NY 10128

4. If Amendment, Date Original Filed(Month/Day/Year)
11/05/2018

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 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 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 | 12/11/2017 | | P | | 15,100 | A | \$ 1.509 | 15,100 <u>(1)</u> | I <u>(2)</u> | By IRA <u>(2)</u> |
| Common Stock | 12/11/2017 | | P | | 2,800 | A | \$ 1.428 | 2,800 | D <u>(2)</u> | |
| Common Stock | 02/14/2018 | | G ⁽³⁾ | | 2,800 | D | \$ 0 | 0 | D <u>(2)</u> | |
| Common Stock | 02/14/2018 | | G ⁽³⁾ | | 2,800 | A | \$ 0 | 2,800 <u>(1)</u> <u>(3)</u> | I <u>(2)</u> | By parents |

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 Transaction (Instr. 3) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Lividini Jaqui 27 EAST 95TH STREET NEW YORK, NY 10128 | | X | | |

Signatures

/s/ Clint J. Pete,
Attorney-In-Fact

11/08/2018

**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) The total amount of shares beneficially owned following the reported transactions reflects the number of shares beneficially owned by Ms. Lividini as of the date this report is being filed.

(2) This amendment is being filed to correct the ownership form of the 15,100 shares acquired, which was inadvertently reported on the original filing as direct. Columns six and seven have been adjusted to reflect this correction. This amendment is also being filed to report additional transactions that occurred on the date of, and subsequent to, the original transaction.

(3) This transaction involved a gift of securities by Ms. Lividini to her parents' brokerage account over which Ms. Lividini has power of attorney. Ms. Lividini disclaims beneficial ownership of the shares held in her parents' brokerage account, and this report should not be deemed an admission that Ms. Lividini is the beneficial owner of her parents' shares for purposes of Section 16 or for any other purpose.

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

Edgar Filing: Lividini Jaqui - Form 4/A

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.