ONE Group Hospitality, Inc.

Form 3

April 05, 2016

# FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

January 31, 2005

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, response... 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 \*

À Munoz-Suarez Alejandro

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

03/31/2016

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

ONE Group Hospitality, Inc. [STKS]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

411 WEST 14TH STREET, 2ND **FLOOR** 

(Street)

(State)

Director \_X\_\_ Officer

10% Owner Other (give title below) (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

NEW YORK, NYÂ 10014

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)

(City)

Beneficially Owned (Instr. 4)

2. Amount of Securities

Ownership Form:

(Check all applicable)

Chief Operating Officer

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Direct (D) or Indirect (I) (Instr. 5)

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

SEC 1473 (7-02)

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 Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

4. Conversion or Exercise Price of

5. Ownership Form of Derivative Security:

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Date Expiration Exercisable Date

Title

Amount or Number of Shares

Derivative Security

Direct (D) or Indirect (I)

						(Instr. 5)	
Option to Purchase Shares of Common Stock	(1)	04/01/2026	Common Stock, par value \$0.0001 per share	125,000	\$ 2.83	D	Â
Option to Purchase Shares of Common Stock	(2)	04/01/2026	Common Stock, par value \$0.0001 per share	125,000	\$ 2.83	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
F 8	Director	10% Owner	Officer	Other		
Munoz-Suarez Alejandro 411 WEST 14TH STREET, 2ND FLOOR NEW YORK. NY 10014	Â	Â	Chief Operating Officer	Â		

### **Signatures**

/s/ Alejandro
Munoz-Suarez

\*\*Signature of Reporting

Date

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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) These options vest ratably over a five year period on the anniversary of the date of grant.
- (2) These options will vest upon the achievement of certain annual targeted milestones as determined by the board of directors of the Issuer

#### **Remarks:**

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Exhibit List - Exhibit 24: Power of Attorney

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.

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