#### Edgar Filing: HERZFELD CARIBBEAN BASIN FUND INC - Form 4

#### HERZFELD CARIBBEAN BASIN FUND INC

Form 4 May 03, 2016

## FORM 4

subject to

Section 16.

Form 4 or

Form 5

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

Check this box if no longer

(Middle)

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

(First)

(Street)

Oro Jose Raphael

(Last)

(Instr. 3)

2. Issuer Name and Ticker or Trading

Symbol

HERZFELD CARIBBEAN BASIN

FUND INC [CUBA]

3. Date of Earliest Transaction

(Month/Day/Year)

05/01/2016

5. Relationship of Reporting Person(s) to

Issuer

below)

(Check all applicable)

below)

10% Owner \_X\_ Other (specify

OMB

Number:

Expires:

response...

Estimated average

burden hours per

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

119 WASHINGTON STREET, **SUITE 504** 

4. If Amendment, Date Original

Filed(Month/Day/Year)

Former Access Person 6. Individual or Joint/Group Filing(Check

Applicable Line)

Director

Officer (give title

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

MIAMI BEACH, FL 33139

(City) (State) (Zip) 1. Title of 2. Transaction Date 2A. Deemed Security

Derivative Conversion

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 3. (Month/Day/Year) Execution Date, if

(Month/Day/Year)

4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial Ownership (I) (Instr. 4) (Instr. 4)

7. Title and

Amount of

Reported Transaction(s)

or (Instr. 3 and 4) Code V Amount (D) Price

(A)

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

**Expiration Date** 

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

3. Transaction Date 3A. Deemed 1. Title of 5. 6. Date Exercisable and

(Month/Day/Year) Execution Date, if TransactionNumber

1

8. Price of

Derivative

9. Nu

Deriv

### Edgar Filing: HERZFELD CARIBBEAN BASIN FUND INC - Form 4

Security (Instr. 3)	or Exercise Price of Derivative Security	any (Month/Day/Year)	Code (Instr. 8)	of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	ies ed ed 3,		Underly Securiti (Instr. 3	ies	Security (Instr. 5)	
			Code V	, ,	Date Exercisable	Expiration Date	0 N 0	Amount or Number of Shares		

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Oro Jose Raphael 119 WASHINGTON STREET, SUITE 504 MIAMI BEACH, FL 33139

Former Access Person

Secur Bene Own Follo Repo Trans (Instr

# **Signatures**

/s/ Jose Oro 05/03/2016

\*\*Signature of 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).

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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