

Simonton Taylor J.
Form 4
August 10, 2017

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 *
Simonton Taylor J.

2. Issuer Name and Ticker or Trading Symbol
Surna Inc. [SRNA]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
5170, S. HANOVER WAY
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
08/08/2017

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

ENGLEWOOD, CO 80111

(City) (State) (Zip)

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

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) |
|--|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V | Amount | (D) | Price |
| Common Stock, par value \$0.00001 per share ⁽¹⁾ | 08/08/2017 | 08/08/2017 | A | | 18,519 | A | 11 18,519 |
| | | | | | | D | |

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) | | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|-----|---|-----------------|--------------|----------------------|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount Number Shares |
| Option to purchase common stock ⁽²⁾ | \$ 0.135 | 08/08/2017 | 08/08/2017 | A | | 450,000 | | 08/08/2017 | 08/08/2027 | Common Stock | 450,000 |
| Option to purchase common stock ⁽³⁾ | \$ 0.135 | 08/08/2017 | 08/08/2017 | A | | 450,000 | | 03/01/2018 | 08/08/2027 | Common Stock | 450,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Simonton Taylor J. 5170 S. HANOVER WAY ENGLEWOOD, CO 80111 | | X | | |

Signatures

/s/ J. Taylor
Simonton
08/10/2017
Date

**Signature of Reporting Person

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) On August 8, 2017, the Issuer's board of directors approved the issuance of 18,519 shares of common stock in lieu of the cash payment of \$2,500 of retainer fees for services as a director, based on a closing price of Issuer's common stock of \$0.135 on August 7, 2017.
- (2) On August 8, 2017, the Issuer's board of directors approved the grant of non-qualified stock options to purchase 450,000 shares of common stock at an exercise price of \$0.135, the closing price of Issuer's common stock on August 7, 2017, which were vested and exercisable on the date of grant. These options were granted for services as a director.
- (3) On August 8, 2017, the Issuer's board of directors also approved the additional grant of non-qualified stock options to purchase 450,000 shares of common stock at an exercise price of \$0.135, which vest and become exercisable on March 1, 2018 if the Reporting Person continues to provide services as a director on March 1, 2018. These options were granted for services as a director.

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

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