SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b). Ш

1. Name and Address of Reporting Person*

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden 0.5 hours per response:

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

2. Issuer Name and Ticker or Trading Symbol

OPKO HEALTH, INC. [OPK]

FROST PHILL	LIP MD ET .	<u>OPK</u>	<u>O HEALTH,</u>	INC.	OP	X]		Director	X 10% C	Jwner			
(Last) OPKO HEALTH,	(First)	3. Date 03/08	e of Earliest Transact /2023	tion (Mon	ith/Day	y/Year)	X	Officer (rive title Other (creatify					
4400 BISCAYNE		4. If Ar	nendment, Date of C	riginal Fi	led (M	6. Indiv	6. Individual or Joint/Group Filing (Check Applicable Line) Form filed by One Reporting Person						
(Street)													
MIAMI	FL	33137							X Form filed by More than One Reporting Person				
(City)	(State)	(Zip)											
		Table I - No	on-Derivative	Securities Acc	quired,	Dis	posed of, o	r Benefi	cially Ow	vned			
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 Disposed Of (D) (Instr. 3,		.) or 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
				Code V		Amount	(A) or (D)	Price	· Transaction(s) (Instr. 3 and 4)		(Instr. 4)		
Common Stock									3,068,951	D			
Common Stock			03/08/2023		Р		300	A	\$1.12	198,831,994	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		39,028	A	\$1.125	198,871,022	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		22,049	A	\$1.13	198,893,071	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		5,700	A	\$1.1325	198,898,771	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		107,200	A	\$1.135	199,005,971	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		348,101	A	\$1.14	199,354,072	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		13,569	A	\$1.145	199,367,641	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		1,900	A	\$1.1475	199,369,541	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		81,336	A	\$1.15	199,450,877	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		1,000	A	\$1.1525	199,451,877	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		59,117	A	\$1.155	199,510,994	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		20,700	A	\$1.16	199,531,694	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		7,958	A	\$1.225	199,539,652	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		15,386 A		\$1.23	199,555,038	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		1,200	A	\$1.235	199,556,238	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		11,556	A	\$1.24	199,567,794	I	See Footnote ⁽¹⁾	
Common Stock		03/08/2023		Р		11,300	A	\$1.245	199,579,094	I	See Footnote ⁽¹⁾		
Common Stock			03/08/2023		Р		92,000	A	\$1.25	199,671,094	I	See Footnote ⁽¹⁾	
Common Stock			03/08/2023		Р		89,710	A	\$1.255	199,760,804	I	See Footnote ⁽¹⁾	

1. Title of Security (Instr. 3)				Date	nsaction h/Day/Yea	r) E	2A. Deemed Execution Date, if any (Month/Day/Year)		3. Transaction Code (Instr. 8)		4. Securities Acquired (A Disposed Of (D) (Instr. 3,) or 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported		6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
									Code	v	Amount		(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)			(Instr. 4)
Common Stock					03/08/2023				Р		2,700		A	\$1.26	199,76	3,504	I	See Footnote ⁽¹⁾
Common Stock				03/08/2023		T					7,341		A	\$1.265	199,770,845		I	See Footnote ⁽¹⁾
Common Stock				03/08/2023		T			Р		34,812		A	\$1.27	199,805,657		I	See Footnote ⁽¹⁾
Common Stock				03/08/2023		Τ			Р 6,03		6,037		A \$1.28		199,811,694		I	See Footnote ⁽¹
Common Stock				03/08/2023		Τ			Р		20,000		Α	\$1.29	199,831,694		I	See Footnote ⁽¹
Common Stock						Τ									30,127,177		I	See Footnote ⁽²
			Table II -								sed of, o				ed			
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemer Execution I if any (Month/Day	Date, Transaction Code (Instr.					6. Date Exerce Expiration Date (Month/Day/N		ate Se Year) De		7. Title and Amount o Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number derivative Securities Beneficial Owned Following Reported Transactio	e Ownershi s Form: ally Direct (D) or Indirec g (I) (Instr. 4	Beneficial Ownership (Instr. 4)
					Code		(A) (D)		Date Exercis	able	Expiration Date Titl		e	Amount or Number of Shares		(Instr. 4)	ion(s)	
1. Name and Add FROST PH	-	-												•				
(Last) (First) (Middle) OPKO HEALTH, INC. 4400 BISCAYNE BLVD.			1		-													
Street) MIAMI FL 33137				-														
(City)	(Sta	ate)	(Zip)															
1. Name and Add Frost Gamn																		
(Last) (First) (Middle) 4400 BISCAYNE BLVD.				1		-												
(Street) MIAMI	FL		33137			-												
						-												

Explanation of Responses:

1. The securities are held by Frost Gamma Investments Trust, of which Phillip Frost M.D., is the trustee. Frost Gamma L.P. is the sole and exclusive beneficiary of Frost Gamma Investments Trust. Dr. Frost is one of two limited partners of Frost Gamma L.P. The general partner of Frost Gamma L.P. is Frost Gamma, Inc., and the sole shareholder of Frost Gamma, Inc. is Frost-Nevada Corporation. Dr. Frost is also the sole shareholder of Frost-Nevada Corporation. The reporting person disclaims beneficial ownership of these securities, except to the extent of any pecuniary interest therein and this report shall not be deemed an admission that the reporting person is the beneficial owner of these securities for purposes of Section 16 or for any other purpose.

2. These securities are held by Frost Nevada Investments Trust, of which the Reporting Person is the trustee and Frost-Nevada, L.P. is the sole and exclusive beneficiary. The Reporting Person is one of seven limited partners of Frost-Nevada, L.P. and the sole shareholder of Frost-Nevada Corporation, the sole general partner of Frost-Nevada, L.P. The reporting person disclaims beneficial ownership of these securities, except to the extent of any pecuniary interest therein and this report shall not be deemed an admission that the reporting person is the beneficial owner of these securities for purposes of Section 16 or for any other purpose.

Remarks:

(City)

Phillip Frost, M.D., Individually 03/09/2023 and as Trustee

** Signature of Reporting Person

Date

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

(Zip)

* If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

(State)

** 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.

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 Number.

JOINT FILER INFORMATION

Name: Frost Gamma Investments Trust

Address: 4400 Biscayne Blvd. Miami, FL 33137

Designated Filer: Phillip Frost, M.D.

Issuer Name and Ticker Symbol: OPKO Health, Inc. (OPK)

Date of Earliest Transaction: March 8, 2023

Relationship to Issuer: 10% Owner

FROST GAMMA INVESTMENTS TRUST

By: /s/ Phillip Frost, M.D., as Trustee Phillip Frost, M.D., Trustee