

Anika Therapeutics, Inc.
Form SC 13G/A
March 22, 2018

UNITED STATES

SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Schedule 13G

Under the Securities Exchange Act of 1934

(Amendment No. 1)*

Anika Therapeutics, Inc.

(Name of Issuer)

Common Stock

(Title of Class of Securities)

035255108

(CUSIP Number)

March 9, 2018

(Date of Event Which Requires Filing of this Statement)

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Check the appropriate box to designate the rule pursuant to which this Schedule is filed:

☐ Rule 13d-1(b)

☒ Rule 13d-1(c)

☐ Rule 13d-1(d)

*The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter the disclosures provided in a prior cover page.

The information required in the remainder of this cover page shall not be deemed to be “filed” for the purpose of Section 18 of the Securities Exchange Act of 1934 (“Act”) or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Notes).

CUSIP NO. 035255108

(1) Names of reporting persons: Charles H. Sherwood

(2) Check the appropriate box if a member of a group (see instructions)

(a) ☐

(b) ☐

(3) SEC use only

(4) Citizenship or place of organization: United States

Number of Shares Beneficially Owned by Each Reporting Person:

(5) Sole voting power: 789,547

(6) Shared voting power: 0

(7) Sole dispositive power: 789,547

(8) Shared dispositive power: 0

(9) Aggregate amount beneficially owned by each reporting person: 789,547

(10) Check if the aggregate amount in Row (9) excludes certain shares (see instructions) ☐

(11) Percent of class represented by amount in Row (9): 5.15%

(12) Type of reporting person (see instructions) IN

Item 1.

(a) Name of issuer: Anika Therapeutics, Inc.

(b) Address of issuer's principal executive offices: 32 Wiggins Avenue, Bedford, MA 01730

Item 2.

(a) Name of person filing: Charles H. Sherwood

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(b) Address or principal business office or, if none, residence: 169 Marlboro Rd., Sudbury, MA 01776

(c) Citizenship: United States

(d) Title of class of securities: Common Stock

(e) CUSIP No.: 035255108

Item 3. If this statement is filed pursuant to §§240.13d-1(b) or 240.13d-2(b) or (c), check whether the person filing is a:

(a) ☐ Broker or dealer registered under section 15 of the Act (15 U.S.C. 78o);

(b) ☐ Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c);

(c) ☐ Insurance company as defined in section 3(a)(19) of the Act (15 U.S.C. 78c);

(d) ☐ Investment company registered under section 8 of the Investment Company Act of 1940 (15 U.S.C. 80a-8);

(e) ☐ An investment adviser in accordance with §240.13d-1(b)(1)(ii)(E);

(f) ☐ An employee benefit plan or endowment fund in accordance with §240.13d-1(b)(1)(ii)(F);

(g) ☐ A parent holding company or control person in accordance with §240.13d-1(b)(1)(ii)(G);

(h) ☐ A savings associations as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);

(i) ☐ A church plan that is excluded from the definition of an investment company under section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3);

(j) ☐ A non-U.S. institution in accordance with §240.13d-1(b)(1)(ii)(J);

(k) ☐ Group, in accordance with §240.13d-1(b)(1)(ii)(K). If filing as a non-U.S. institution in accordance with §240.13d-1(b)(1)(ii)(J), please specify the type of institution:

Item 4. Ownership.

Provide the following information regarding the aggregate number and percentage of the class of securities of the issuer identified in Item 1.

(a) Amount beneficially owned: 789,547 (This share number includes 630,559 shares subject to issuer stock options that are immediately exercisable).

(b) Percent of class: 5.15%

(c) Number of shares as to which the person has:

(i) Sole power to vote or to direct the vote 789,547

(ii) Shared power to vote or to direct the vote: 0

(iii) Sole power to dispose or to direct the disposition of 789,547

(iv) Shared power to dispose or to direct the disposition of 0

Item 5. Ownership of 5 Percent or Less of a Class.

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than 5 percent of the class of securities, check the following [].

N/A

Item 6. Ownership of More than 5 Percent on Behalf of Another Person.

N/A

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on by the Parent Holding Company or Control Person.

N/A

Item 8. Identification and Classification of Members of the Group

N/A

Item 9. Notice of Dissolution of Group.

N/A

Item 10. Certification

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect, other than activities solely in connection with a nomination under §240.14a-11.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Date: March 22, 2018 By: /s/ Charles H. Sherwood
Name: Charles H. Sherwood

Footnotes:

Attention: Intentional misstatements or omissions of fact constitute federal criminal violations (See 18.U.S.C. 1001)