AtheroNova Inc. Form 4 June 21, 2013

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** 

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if no longer subject to Section 16. Form 4 or Form 5

obligations

may continue.

Check this box

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

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* **KNOLL FRED** 

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

(First) (Last)

(Middle)

(Zip)

AtheroNova Inc. [AHRO.OB] 3. Date of Earliest Transaction

(Month/Day/Year) 06/17/2013

(Check all applicable)

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

C/O KNOLL CAPITAL MANAGEMENT, L.P., 5 EAST 44TH STREET, SUITE 12

> (Street) 4. If Amendment, Date Original

> > Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

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

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

NEW YORK, NY 10017

(City)

(Instr. 3)

1. Title of 2. Transaction Date 2A. Deemed Security

(State)

3. 4. Securities (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Month/Day/Year) (Instr. 8)

5. Amount of Securities Beneficially Owned (I) Following (Instr. 4)

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

Reported (A) Transaction(s) or (Instr. 3 and 4)

Code V Amount (D) Price

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.

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

1. Title of Derivative

Conversion

3. Transaction Date 3A. Deemed

(Month/Day/Year) Execution Date, if

5. Number of TransactionDerivative

6. Date Exercisable and **Expiration Date** 

7. Title and Amo Underlying Secu

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Security (Instr. 3)	or Exercise Price of Derivative Security		any (Month/Day/Year)	Code (Instr. 8)	Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	(Month/Day/Y	ear)	(Instr. 3 and	4)
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	An Nu Sha
Warrants to Purchase Common Stock	\$ 0.393	06/17/2013		<u>J(1)</u>	636,266	05/13/2010	05/13/2014	Common Stock	6
Warrants to Purchase Common Stock	\$ 0.6	06/17/2013		<u>J(1)</u>	60,000	04/25/2011	04/25/2014	Common Stock	(
2.5% Senior Secured Convertible Note	\$ 0.29	06/17/2013		J <u>(1)</u>	1,596,062	05/13/2010	05/12/2014	Common Stock	1,
2.5% Senior Secured Convertible Note	\$ 0.29	06/17/2013		J <u>(1)</u>	882,423	09/04/2012	09/03/2016	Common Stock	8
2.5% Senior Secured Convertible Note	\$ 0.29	06/17/2013		<u>J(1)</u>	587,484	10/01/2012	09/30/2016	Common Stock	5
2.5% Senior Secured Convertible Note	\$ 0.29	06/17/2013		<u>J(1)</u>	881,226	10/31/2012	10/30/2016	Common Stock	8

# **Reporting Owners**

Reporting Owner Name / Address	Relationships				
1 8	Director	10% Owner	Officer	Other	
KNOLL FRED					
C/O KNOLL CAPITAL MANAGEMENT, L.P.	X				
5 EAST 44TH STREET, SUITE 12	Λ				
NEW YORK NY 10017					

## **Signatures**

/s/ Fred Knoll	06/19/2013		
**Signature of Reporting Person	Date		

Reporting Owners 2

## **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).
- Effective June 17, 2013, Europa International, Inc. waived the beneficial ownership cap applicable to these securities. The reporting person, the principal partner and President of Knoll Capital Management, L.P., the investment manager for Europa International, Inc.,
- exercises voting and dispositive power over the shares held by Europa International, Inc. but disclaims beneficial ownership of such shares except to the extent of his pecuniary interest therein.

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.