SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

185

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By IRA

OMB Number:	3235-0287
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to Section 16. Fo obligations may Instruction 1(b).		-	Filed p		nt to Section 16(a) o ction 30(h) of the In					34	11		ed average burd er response:	len 0.5
1. Name and Address of Reporting Person* Fortin Michael E (Last) (First) (Middle) 1535 FARADAY AVENUE				2. Issuer Name and Ticker or Trading Symbol <u>NATURAL ALTERNATIVES</u> <u>INTERNATIONAL INC</u> [NAII] 3. Date of Earliest Transaction (Month/Day/Year) 03/15/2021							k all applicable) Director Officer (give below)	title	rting Person(s) to Issuer 10% Owner tle Other (specify below) nancial Officer	
(Street) CARLSBAD (City)	CA (State)	92008 (Zip)		4. If Amendment, Date of Original Filed (Month/Day/Year)							vidual or Joint/Group Filing (Check Applicable Form filed by One Reporting Person Form filed by More than One Reporting Person			son
	Ta	ble I - Noi	n-Derivat	ive S	ecurities Acqu	uired,	Dis	posed of, o	or Ben	eficially	v Owned			
Dat			2. Transaction Date (Month/Day/Year)		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)					5. Amount of Securities Beneficially Owned Follow Reported	F (I	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
						Code V		Amount (A) or (D)		Price	Transaction(s) (Instr. 3 and 4)			
Common Stock 03/15/2				021		A ⁽¹⁾		6,500 ⁽²⁾	Α	\$ <mark>0</mark>	35,662		D	

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

			(5-,	,			,					,			
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. Transa Code (8)		5. Nu of Deriv Secu Acqu (A) of Dispo of (D) (Instr and 5	vative rities lired r osed) r. 3, 4	Expiration Da	6. Date Exercisable and Expiration Date (Month/Day/Year)		nd 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

Common Stock

1. This transaction represents a grant of restricted stock pursuant to the Issuer's 2020 Omnibus Incentive Plan.

2. One third (2,167 shares) of the restricted stock vests on March 7, 2022; one third (2,167 shares) of the restricted stock vests on March 7, 2023, and the final third (2,166 shares) of the restricted stock vests on March 7, 2024

/s/ Michael E. Fortin	<u>03/18/2021</u>				
** Signature of Reporting Person	Date				

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

* 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.

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.