

ROCKWELL MEDICAL, INC.

Form 3

March 02, 2017

FORM 3UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**INITIAL STATEMENT OF 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 *

Â Richmond David S.

(Last) (First) (Middle)

3568 WILDWOOD AVENUE

(Street)

JACKSON,Â MIÂ 49202

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

02/20/2017

3. Issuer Name and Ticker or Trading Symbol

ROCKWELL MEDICAL, INC. [RMTI]

4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

☐ Director ☒ 10% Owner☐ Officer ☒ Other

(give title below) (specify below)

See Footnote 1

5. 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 Beneficially Owned**1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)Common Stock (1) (2)

176,412

D

Â

Common Stock (1) (2)

164,841

I

By: RBI Private Investment I,
LLC (3)Common Stock (1) (2)

34,087

I

By: Richmond Brothers 401(k)
Profit Sharing Plan (4)Common Stock (1) (2)

28,096

I

By: Spouse of David S.
Richmond (5)Common Stock (1) (2)

147

I

By: Daughter of David S.
Richmond (6)Common Stock (1) (2)

7

I

By: Son of David S. Richmond (7)Common Stock (1) (2)

40,684

I

By: Matthew J. Curfman

Common Stock (1) (2)

34,385

I

By: Spouse of Matthew J.
Curfman (8)

Edgar Filing: ROCKWELL MEDICAL, INC. - Form 3

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

SEC 1473 (7-02)

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 control number.

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

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Richmond David S. 3568 WILDWOOD AVENUE JACKSON, MI 49202	Â	Â X	Â	See Footnote 1
RBI Private Investment I, LLC 3568 WILDWOOD AVENUE JACKSON, MI 49202	Â	Â	Â	See Footnote 1
RBI PI Manager, LLC 3568 WILDWOOD AVENUE JACKSON, MI 49202	Â	Â	Â	See Footnote 1
Richmond Brothers 401(k) Profit Sharing Plan 3568 WILDWOOD AVENUE JACKSON, MI 49202	Â	Â	Â	See Footnote 1
Richmond Brothers, Inc. 7415 FOXWORTH COURT JACKSON, MI 49201	Â	Â X	Â	See Footnote 1
Curfman Matthew J. 3568 WILDWOOD AVENUE JACKSON, MI 49202	Â	Â X	Â	See Footnote 1

Signatures

By: /s/ David S. Richmond

03/02/2017

__Signature of Reporting Person

Date

By: RBI Private Investment I, LLC; By: RBI PI Manager, LLC, Manager; By: /s/ David S. Richmond, Manager

03/02/2017

__Signature of Reporting Person

Date

Edgar Filing: ROCKWELL MEDICAL, INC. - Form 3

By: RBI PI Manager, LLC; By: /s/ David S. Richmond, Manager	03/02/2017
Signature of Reporting Person	Date
By: Richmond Brothers 401(k) Profit Sharing Plan; By: /s/ David S. Richmond, Trustee	03/02/2017
Signature of Reporting Person	Date
By: Richmond Brothers, Inc.; By: /s/ David S. Richmond, Chairman	03/02/2017
Signature of Reporting Person	Date
By: /s/ Matthew J. Curfman	03/02/2017
Signature of Reporting Person	Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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).

This Form 3 is filed jointly by RBI Private Investment I, LLC ("RBI PI"), RBI PI Manager, LLC ("RBI Manager"), Richmond Brothers 401(k) Profit Sharing Plan ("RBI Plan"), Richmond Brothers, Inc. ("Richmond Brothers"), David S. Richmond and Matthew J. Curfman (collectively, the "Reporting Persons"). Each of the Reporting Persons may be deemed to be a member of a Section 13(d) group that may

- (1) be deemed to collectively beneficially own more than 10% of the Issuer's outstanding shares of Common Stock. Each of the Reporting Persons disclaims beneficial ownership of the securities reported herein except to the extent of his or its pecuniary interest therein. The filing of this Form 3 shall not be deemed an admission that the Reporting Persons are, for purposes of Section 13(d) of the Securities Exchange Act of 1934, as amended, the beneficial owners of any securities of the Issuer he or it does not directly own.

- (2) Not reported herein are shares of Common Stock held in certain accounts managed by Richmond Brothers (the "Separately Managed Accounts"). Richmond Brothers is entitled to a management fee from the Separately Managed Accounts based solely on the value of assets under management. Accordingly, neither Richmond Brothers nor any other Reporting Person has a pecuniary interest in any of the shares held in the Separately Managed Accounts for purposes of Section 16.

- (3) Represents securities directly owned by RBI PI. RBI Manager, as the manager of RBI PI, may be deemed to beneficially own the securities owned directly by RBI PI. Mr. Richmond, as the manager of RBI Manager, may be deemed to beneficially own the securities owned directly by RBI PI.

- (4) Represents securities directly owned by RBI Plan. Messrs. Richmond and Curfman, as trustees of RBI Plan, may be deemed to beneficially own the securities owned directly by RBI Plan.

- (5) Represents securities directly owned by Mr. Richmond's spouse. Mr. Richmond may be deemed to beneficially own the securities owned directly by his spouse.

- (6) Represents securities directly owned by Mr. Richmond's daughter. Mr. Richmond may be deemed to beneficially own the securities owned directly by his daughter.

- (7) Represents securities directly owned by Mr. Richmond's son. Mr. Richmond may be deemed to beneficially own the securities owned directly by his son.

- (8) Represents securities directly owned by Mr. Curfman's spouse. Mr. Curfman may be deemed to beneficially own the securities owned directly by his spouse.

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.