

Edgar Filing: Truett-Hurst, Inc. - Form SC 13G

Truett-Hurst, Inc.
Form SC 13G
February 13, 2018

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

SCHEDULE 13G

Under the Securities Exchange Act of 1934
(Amendment No. _____) *

Truett-Hurst Inc.

(Name of Issuer)

Common Stock

(Title of Class of Securities)

897871109

(CUSIP Number)

December 31, 2017

(Date of Event Which Requires Filing of this Statement)

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).

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CUSIP No. 897871109

1. Names of Reporting Persons.
I.R.S. Identification Nos. of above persons (entities only).

Bard Associates, Inc. 36-3452497

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

Illinois

Number of	5.	Sole Voting Power
Shares		
Beneficially		1,794
Owned by		-----
Each Reporting	6.	Shared Voting Power
Person with		0

	7.	Sole Dispositive Power
		457,844

	8.	Shared Dispositive Power
		0

9. Aggregate Amount Beneficially Owned by Each Reporting Person

457,844

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares
(See Instructions) / /

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11. Percent of Class Represented by Amount in Row (9)

10.3%

12. Type of Reporting Person (See Instructions)

IA

ITEM 1.

(a) Name of Issuer

Truett-Hurst Inc.

(b) Address of Issuer's Principal Executive Offices

4035 Westside Road
Healdsburg, California 95448

ITEM 2.

(a) Name of Person Filing

Bard Associates, Inc.

(b) Address of Principal Business Office or, if none, Residence

135 South LaSalle Street, Suite 3700
Chicago, IL 60603

(c) Citizenship

United States

(d) Title of Class of Securities

Common Stock

(e) CUSIP Number

897871109

ITEM 3. IF THIS STATEMENT IS FILED PURSUANT TO SECTIONS
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).

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- (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) / x / An investment adviser in accordance with Section 240.13d-1(b)(1)(ii)(E);
- (f) / / An employee benefit plan or endowment fund in accordance with Section 240.13d-1(b)(1)(ii)(F);
- (g) / / A parent holding company or control person in accordance with Section 240.13d-1(b)(1)(1)(ii)(G);
- (h) / / A savings association 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) / / Group, in accordance with Section 240.13d-1(b)(1)(ii)(J).

ITEM 4. OWNERSHIP

The information reported below in this Item 4 is as of December 31, 2017. The percentage set forth in Item 4(b) is calculated based on 4,460,417 shares of the Issuer's Common Stock outstanding as reported in the Issuer's Form 10-Q for the period ended September 30, 2017 (filed November 21, 2017).

(a) Amount beneficially owned:

457,844

(b) Percent of Class

10.3%

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

(i) Sole power to vote or to direct the vote

1,794

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

0

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

457,844

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

0

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ITEM 5. OWNERSHIP OF FIVE 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 five Percent of the class of securities, check the following / /.

ITEM 6. OWNERSHIP OF MORE THAN FIVE PERCENT ON BEHALF OF ANOTHER PERSON

ITEM 7. IDENTIFICATION AND CLASSIFICATION OF THE SUBSIDIARY WHICH ACQUIRED THE SECURITY BEING REPORTED ON BY THE PARENT HOLDING COMPANY OR CONTROL PERSON

ITEM 8. IDENTIFICATION AND CLASSIFICATION OF MEMBERS OF THE GROUP

ITEM 9. NOTICE OF DISSOLUTION OF GROUP

ITEM 10. CERTIFICATION

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were acquired and are held in the ordinary course of business and 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.

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.

02/12/2018

Date

/s/ Timothy B. Johnson

Signature

Timothy B. Johnson/ President

Name/Title

Code V Amount(A) or (D) Price Class A Common Stock 03/18/2011 A 40,600 (1) A \$ 0 152,354 D Class A Common Stock 69,686 (2) I As a member of SMDA Development I, LLC

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

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SEC 1474 (9-02)

number.

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

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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Owned Following Reporting Transaction (Instr. 5)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SMITH BRYAN SCOTT C/O SONIC AUTOMOTIVE, INC. 5401 EAST INDEPENDENCE BLVD. CHARLOTTE, NC 28212	X		President and CSO	

Signatures

/s/ B. Scott
Smith

03/25/2011

**Signature of
Reporting Person

Date

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).

- (1) Represents shares of Class A Common Stock issuable upon conversion of restricted stock units granted by the Compensation Committee of Sonic Automotive, Inc. pursuant to the Sonic Automotive, Inc. 2004 Stock Incentive Plan. The restricted stock units may only be settled in shares of Class A Common Stock and are subject to forfeiture based on the satisfaction of performance criteria for fiscal year 2011.
- (2) Mr. Smith disclaims beneficial ownership of the shares held by SMDA Development I, LLC except to the extent of his pecuniary interest, if any, therein.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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