### Edgar Filing: NATURES SUNSHINE PRODUCTS INC - Form 4

NATURES SUNSHINE PRODUCTS INC Form 4 August 05, 2014 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading WYNNEFIELD PARTNERS Issuer Symbol SMALL CAP VALUE LP NATURES SUNSHINE (Check all applicable) PRODUCTS INC [NATR] (Last) (First) (Middle) 3. Date of Earliest Transaction Director X\_\_ 10% Owner Officer (give title \_ Other (specify (Month/Day/Year) below) below) **450 SEVENTH AVENUE, SUITE** 08/01/2014 509 (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) Form filed by One Reporting Person \_X\_ Form filed by More than One Reporting NEW YORK, NY 10123 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 5. Amount of 6. Ownership 7. Nature of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Form: Direct Indirect (Instr. 3) any Code (Instr. 3, 4 and 5) Beneficially (D) or Beneficial (Month/Day/Year) (Instr. 8) Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Reported (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price Common S Ρ D<sup>(1)(4)(5)</sup> 08/01/2014 1.948 A 551,235 Stock 15.41 See Common 08/01/2014 Ρ I 3,187 A 816,995 footnote 15.41 Stock (2)See Common Ρ footnote 08/01/2014 1.351 Α 353.335 I 15 41 Stock (3) Common

Ρ

1.055

А

08/04/2014

Stock

D<sup>(1)(4)(5)</sup>

\$15.5 552,290

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Common Stock	08/04/2014	Р	1,727	A	\$ 15.5	818,722	I	See footnote $(2)$
Common Stock	08/04/2014	Р	732	А	\$ 15.5	354,067	Ι	See footnote (3)
Common Stock	08/05/2014	Р	6,004	А	\$ 15.16	558,294	$D \underbrace{(1)}{(4)} \underbrace{(5)}{(5)}$	
Common Stock	08/05/2014	Р	9,826	A	\$ 15.16	828,548	Ι	See footnote $(2)$
Common Stock	08/05/2014	Р	4,170	А	\$ 15.16	358,237	Ι	See footnote (3)

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

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 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)	4. Transactio Code (Instr. 8)	5. 6. Date Exercisable an onNumber Expiration Date of (Month/Day/Year) Derivative Securities Acquired (A) or Disposed of (D)		ate	7. Titl Amou Under Securi (Instr.	nt of lying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
			Code V	(Instr. 3, 4, and 5)	Date Exercisable	Expiration Date		Amount or Number of Shares		

## **Reporting Owners**

**Reporting Owner Name / Address** 

#### Relationships

Director 10% Owner Officer Other

WYNNEFIELD PARTNERS SMALL CAP VALUE LP 450 SEVENTH AVENUE SUITE 509 NEW YORK, NY 10123

Х

WYNNEFIELD PARTNERS SM 450 SEVENTH AVENUE SUITE 509 NEW YORK, NY 10123	ALL CAP VALUE LP I	Х	
WYNNEFIELD SMALL CAP V. 450 SEVENTH AVE SUITE 509 NEW YORK, NY 10123	ALUE OFFSHORE FUND LTD	х	
WYNNEFIELD CAPITAL MAN 450 SEVENTH AVE SUITE 509 NEW YORK, NY 10123	AGEMENT LLC	Х	
WYNNEFIELD CAPITAL INC 450 SEVENTH AVE SUITE 509 NEW YORK, NY 10123		Х	
OBUS NELSON 450 SEVENTH AVE SUITE 509 NEW YORK, NY 10123		Х	
LANDES JOSHUA 450 SEVENTH AVE SUITE 509 NEW YORK, NY 10123		Х	
Signatures			
WYNNEFIELD PARTNERS SM	ALL CAP VALUE, L.P., By: Wynnefield Cap er, /s/ Nelson Obus, Managing Member	vital	08/05/2014
	**Signature of Reporting Person		Date
	ALL CAP VALUE, L.P. I, By: Wynnefield Ca er, /s/ Nelson Obus, Managing Member	apital	08/05/2014
	**Signature of Reporting Person		Date
WYNNEFIELD SMALL CAP V Inc., /s/ Nelson Obus, President	ALUE OFFSHORE FUND, LTD., By: Wynne	field Capital,	08/05/2014
	**Signature of Reporting Person		Date
WYNNEFIELD CAPITAL MAN	NAGEMENT, LLC, /s/ Nelson Obus, Managing	g Member	08/05/2014
	**Signature of Reporting Person		Date
WYNNEFIELD CAPITAL, INC	., /s/ Nelson Obus, President		08/05/2014
	**Signature of Reporting Person		Date
/s/ Nelson Obus, Individually			08/05/2014
	**Signature of Reporting Person		Date
/s/ Joshua Landes, Individually			08/05/2014
	**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).

Wynnefield Partners Small Cap Value, L.P. (the "Reporting Person") directly beneficially owns 558,294 shares of common stock, no par value per share ("Common Stock") of Nature's Sunshine Products, Inc. Wynnefield Capital Management, LLC ("WCM"), as the sole general partner of the Reporting Person, has an indirect beneficial ownership interest in the shares of Common Stock that the

(1) reporting Person directly beneficially owns. WCM, located at the same address as the Reporting Person, is filing this Form jointly with the Reporting Person. Nelson Obus and Joshua Landes as co-managing members of WCM have an indirect beneficial ownership interest in the shares of Common Stock that the Reporting Person directly beneficially owns. Mr. Obus and Mr. Landes, each located at the same address as the Reporting Person, are filing this Form jointly with the Reporting person (see footnote 4).

The Reporting Person has an indirect beneficial ownership interest in 828,548 shares of Common Stock, which are directly beneficially owned by Wynnefield Partners Small Cap Value, L.P. I ("WPSCVI"), as members of a group (a "13D Group") under Section 13(d) of the Securities Exchange Act of 1934, as amended (the "Exchange Act"). WPSCVI, which maintains offices at the same address as the

(2) Reporting Person, is filing this Form jointly with the Reporting Person. WCM, as the sole general partner of WPSCVI, has an indirect beneficial ownership interest in the shares of Common Stock that WPSCVI directly beneficially owns. Mr. Obus and Mr. Landes, as co-managing members of Wynnefield Capital Management, LLC, have an indirect beneficial ownership interest in the shares of Common Stock that WPSCVI directly beneficially owns.

The Reporting Person has an indirect beneficial ownership interest in 358,237 shares of Common Stock, which are directly beneficially owned by Wynnefield Small Cap Value Offshore Fund, Ltd. ("Offshore"), as members of a 13D Group. Offshore, located at the same address as the Reporting Person, is filing this Form jointly with the Reporting Person. WCI, as the sole investment manager of

(3) Offshore, has an indirect beneficial ownership interest in the shares of Common Stock that Offshore directly beneficially owns. WCI, located at the same address as the Reporting Person, is filing this Form jointly with the Reporting Person. Mr. Obus and Mr. Landes, as principal executive officers of WCI have an indirect beneficial ownership interest in the shares of Common Stock that Offshore directly beneficially owns.

The Reporting Person has an indirect beneficial ownership interest in 44,911 shares of Common Stock, which are directly beneficially owned by Wynnefield Capital, Inc. Profit Sharing Plan (the "Plan"), as members of a 13D Group. The Plan, located at the same address as the Reporting Person, is filing this Form jointly with the Reporting Person. WCI, as the sole investment manager of the Plan, has an

(4) as the Reporting Ferson, is fining this Form jointly with the Reporting Ferson. WCI, as the sole investment manager of the Flan, has an indirect beneficial ownership interest in the shares of Common Stock that the Plan directly beneficially owns. WCI, located at the same address as the Reporting Person, is filing this Form jointly with the Reporting Person. Mr. Obus and Mr. Landes, as principal executive officers of WCI have an indirect beneficial ownership interest in the shares of Common Stock that the Plan beneficially owns.

Mr. Obus and Mr. Landes disclaim beneficial ownership of the securities described in this statement, except to the extent of their individual pecuniary interest in such securities. The filing of this statement shall not be deemed an admission that Mr. Obus and Mr.

(5) Individual peculiary interest in such securities. The thing of this statement shall not be declined an admission that Mr. Obus and Mr. Landes are, for purposes of Section 16 of the Exchange Act or otherwise, the beneficial owner of any securities specified in this statement.

## **Remarks:**

This Form 4 is being filed jointly by Wynnefield Partners Small Cap Value, L.P. ("Partners"), Wynnefield Partners Small Cap

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.