SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

3235-0287 OMB Number: STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Estimated average burden hours per response: 0.5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 Instruction 1(b) 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person' (Check all applicable) CUMBERLAND PHARMACEUTICALS Young Caroline Х Director 10% Owner INC [CPIX] Officer (give title Other (specify (Middle) below) below) (Last) (First) 3. Date of Earliest Transaction (Month/Day/Year) 2525 WEST END AVENUE 09/01/2021 SUITE 950 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) (Street) Х Form filed by One Reporting Person NASHVILLE TN 37203 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 2A. Deemed Execution Date, 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5. Amount of Securities 6. Ownership Form: Direct 1. Title of Security (Instr. 3) 2. Transaction 7. Nature Transaction Code (Instr. Date of Indirect (Month/Day/Year) Beneficially if any (D) or Indirect Beneficial 5) Ownership (Month/Day/Year) 8) Owned Following (I) (Instr. 4) Reported (Instr. 4) (A) or (D) Transaction(s) (Instr. 3 and 4) Code v Amount Price **Common Stock** 10/01/2021 Р 15(1) Α \$2.69 13,688 D 10/04/2021 Р 15(1) D Α \$2.87 13,703 Common Stock 15⁽¹⁾ Common Stock 10/05/2021 Р A \$2.82 13,718 D **15**⁽¹⁾ Common Stock 10/06/2021 Р Α \$2.76 13,733 D Common Stock 10/07/2021 Р 15(1) A \$2.76 13,748 D 15(1) Common Stock 10/08/2021 Р Α \$2.84 13,763 D Common Stock 10/11/2021 Р 15(1) Α \$2.73 13.778 D Common Stock 10/12/2021 Р 15(1) Α \$2.71 13,793 D Р 15(1) A Common Stock 10/13/2021 \$2.71 13,808 D Р 15(1) Common Stock 10/14/2021 A \$2.81 13,823 D

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)	Expiration Date (Month/Day/Year)		Amount of Deri Securities Secu		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)														
Common Stock				10/29/2021				15 ⁽¹⁾	A	\$2.7	2 13	3,988	D	
Common	Stock		10/28/	10/28/2021				15 ⁽¹⁾	A	\$2.6	1 13	3,975	D	
Common	Stock		10/27/	10/27/2021				15 ⁽¹⁾	A	\$2.6	1 13	3,958	D	
Common	Stock		10/26/	10/26/2021		Р		15 ⁽¹⁾	A	\$2.6	4 13	3,943	D	
Common	Stock		10/25/	10/25/2021				15 ⁽¹⁾	A	\$2.6	4 13	3,928	D	
Common	Stock		10/22/	10/22/2021				15 ⁽¹⁾	A	\$2.6	6 13	3,913	D	
Common Stock				10/21/2021				15 ⁽¹⁾	A	\$2.6	5 13	3,898	D	
Common Stock			10/20/	10/20/2021				15 ⁽¹⁾	A	\$2.6	3 13	3,883	D	
Common	Stock		10/19/	10/19/2021				15 ⁽¹⁾	A	\$2.7	6 13	3,868	D	
Common Stock				2021		Р		15 ⁽¹⁾	A	\$2.7	5 13	3,853	D	
Common	Stock		10/15/	2021		Р		15(1)	Α	\$2.7	6 13	3,838	D	

of (D)

(Instr. 3, 4 and 5)

Transact (Instr. 4) nsaction(s) 1. The purchases reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person during March 2021. **Remarks:**

Caroline Young by /s/ John Hamm as attorney-in-fact <u>11/05/2021</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.