

SECURITIES & EXCHANGE COMMISSION EDGAR FILING

Surna Inc.

Form: 3

Date Filed: 2020-06-26

Corporate Issuer CIK: 1482541

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

| | | | | | |
|--|--|---|--|---|--|
| 1. Name and Address of Reporting Person ETTEN NICHOLAS J. <small>(Last) (First) (Middle)</small> | | 2. Date of Event Requiring Statement (Month/Day/Year) 06/24/2020 | | 3. Issuer Name and Ticker or Trading Symbol Surna Inc. [SRNA] | |
| C/O SURNA INC. 1780 55TH STREET <small>(Street)</small> | | 4. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below) | | 5. If Amendment, Date Original Filed(Month/Day/Year) | |
| BOULDER, CO 80301 <small>(City) (State) (Zip)</small> | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> 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) | |

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 | | | |
| Nonqualified Stock Options(right to buy) | (1) | 06/24/2025 | Common Shares | 1,000,000 | \$ 0.029 | D | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| ETTEN NICHOLAS J. C/O SURNA INC. 1780 55TH STREET BOULDER, CO 80301 | X | | | |

Signatures

/s/ Nick Etten 06/26/2020
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).

(1) Effective June 24, 2020, the Reporting Party was granted nonqualified stock options to acquire 1,000,000 shares of common stock at an exercise price of \$0.029 per share as director's compensation. 500,000 stock options vested immediately and the balance of 500,000 will vest on April 1, 2021. The options expire June 24, 2025.

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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(Print or Type Responses)

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|--|--|---|--|--|
| 1. Name and Address of Reporting Person ETTEN NICHOLAS J. <small>(Last) (First) (Middle)</small> C/O SURNA INC. 1780 55TH STREET <small>(Street)</small> BOULDER, CO 80301 <small>(City) (State) (Zip)</small> | | 2. Date of Event Requiring Statement (Month/Day/Year) 06/24/2020 | 3. Issuer Name and Ticker or Trading Symbol Surna Inc. [SRNA] | |
| | | 4. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below) | | |
| | | 5. If Amendment, Date Original Filed(Month/Day/Year) | | |
| | | 6. Individual or Joint/Group Filing(Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person | | |

Table I - Non-Derivative Securities Beneficially Owned

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

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|---|---|-----------------|--|----------------------------|--|--|--|
| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | |
| Nonqualified Stock Options(right to buy) | (1) | 06/24/2025 | Common Shares | 1,000,000 | \$ 0.029 | D | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| ETTEN NICHOLAS J. C/O SURNA INC. 1780 55TH STREET BOULDER, CO 80301 | X | | | |

Signatures

/s/ Nick Etten 06/26/2020
Signature of Reporting Person Date

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