**KNOLL FRED** Form 3 March 14, 2013

# FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

January 31, Expires: 2005

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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 \*

KNOLL FRED

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

11/06/2012

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

AtheroNova Inc. [AHRO.OB]

(Check all applicable)

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

1114 AVENUE OF THE AMERICAS, 45TH FLOOR

(Street)

\_X\_\_ Director Officer (give title below) (specify below)

10% Owner Other

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

NEW YORK, NYÂ 10036

(City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)

2. Amount of Securities

(Instr. 4)

Beneficially Owned

Ownership Form:

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Direct (D) or Indirect

(I) (Instr. 5)

 $I^{(2)}$ Common Stock 450,845 (1) By Europa International, Inc.

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.

SEC 1473 (7-02)

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)

Conversion or Exercise Price of

Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership

(Instr. 5)

Title

Derivative Security: Direct (D) Security

#### Edgar Filing: KNOLL FRED - Form 3

Date Expiration Amount or or Indirect
Exercisable Date Number of (I)
Shares (Instr. 5)

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

**KNOLL FRED** 

1114 AVENUE OF THE AMERICAS, 45TH FLOOR X NEW YORK, NYÂ 10036

## **Signatures**

/s/ Fred Knoll 03/14/2013

\*\*Signature of Date

Reporting Person

# **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).
  - The reporting person erroneously reported his status as a greater than 10% owner of the registrant's common stock and underreported the number of shares held by the reporting person upon his election as a director. The derivative securities held by Europa International, Inc. (Europa), prohibit Europa from converting or exercising such securities if after such conversion and/or exercise Europa would
- (1) beneficially own more than 4.9% of the registrant's outstanding common stock. Europa's beneficial ownership is therefore limited to 4.9% of the registrant's outstanding common stock until such time as the shares issuable under such securities, along with shares of the registrant's common stock held by Europa, constitute 4.9% or less of the registrant's outstanding common stock, or Europa elects to remove such restriction.
- The reporting person, the principal of Knoll Capital Management, L.P., the investment manager for Europa International, Inc., exercises voting and dispositive power over the shares held by Europa International, Inc., but disclaims any beneficial interest in such shares except to the extent of his pecuniary interest therein.

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.

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