

FICHTHORN JOHN
Form 4
May 08, 2018

FORM 4

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

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF
SECURITIES**

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
FICHTHORN JOHN

2. Issuer Name **and** Ticker or Trading
Symbol
Health Insurance Innovations, Inc.
[HIIQ]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

119 ROWAYTON AVENUE

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
05/04/2018

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

NORWALK, CT 06853

(City) (State) (Zip)

4. If Amendment, Date Original
Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	05/04/2018		P	3,000 A \$ 26.645	3,000	D	
Common Stock	05/04/2018		P	2,000 A \$ 26.6441	5,000	D	
Common Stock					82,258 ⁽²⁾	I	Held by BRC Partners Opportunity Fund, LP ⁽¹⁾
Common Stock					211,000	I	Held by Dialectic

Antithesis
Partners, LP
(1)

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

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SEC 1474
(9-02)

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. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
				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
FICHTHORN JOHN 119 ROWAYTON AVENUE NORWALK, CT 06853	X

Signatures

/s/ John
Fichthorn 05/08/2018

__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) BR Dialectic Capital Management, LLC is the investment manager of Dialectic Antithesis Partners, LP and, as such, shares voting and dispositive power over the securities held by Dialectic Antithesis Partners, LP. B. Riley Capital Management, LLC is the investment manager of BRC Partners Opportunity Fund, LP (the "BRC Opportunity Fund") and, as such, shares voting and dispositive power over the securities held by the BRC Opportunity Fund. The Reporting Person is a portfolio manager for BR Dialectic Capital Management,

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LLC and B. Riley Capital Management, LLC and therefore shares voting and dispositive power over the securities, but the Reporting Person disclaims beneficial ownership of any of Issuer's securities in which he does not have a pecuniary interest or that he does not directly own. BR Dialectic Capital Management, LLC and B. Riley Capital Management, LLC are wholly owned subsidiaries of B. Riley Financial, Inc., a publicly traded Delaware corporation (NasdaqCM: RILY).

Represents 54,542 fewer shares than the 136,800 shares reported for the BRC Opportunity Fund on the Reporting Person's Form 3 filed on December 22, 2017, due to a fund reorganization following the date of the Form 3. As a result of the reorganization, BRC Partners

- (2) Opportunity Fund ceased to hold 54,542 of the originally reported shares, and the Reporting Person does not have voting or dispositive power over securities owned by the successor fund. The Reporting Person did not have a pecuniary interest in the 54,542 shares now held by the successor fund.

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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