SEC Form 3 FORM 3

## UNITED STATES SECURITIES AND EXCHANGE

COMMISSION

Washington, D.C. 20549

## **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

OMB APPROVAL

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

1. Name and Address of Reporting Person <sup>*</sup> <u>Rosalind Advisors, Inc.</u>	I Requiring Statem				3. Issuer Name and Ticker or Trading Symbol <u>DELCATH SYSTEMS, INC.</u> [ DCTH ]							
(Last) (First) (Middle) 175 BLOOR STREET SUITE 1316, NORTH TOWER (Street) TORONTO A6 M4W 3R8			4. Relationship of Reportin Issuer (Check all applicable)			5. If Amendment, Date of Original Filed (Month/Day/Year)						
			X Director 10% Owner Officer (give X Other (specify title below) See Remarks			6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person						
(City) (State) (Zip)												
Table I - Non-Derivative Securities Beneficially Owned   1. Title of Security (Instr. 4) 2. Amount of Securities 3. Ownership 4. Nature of Indirect Beneficial												
			Beneficially Owned (Instr. 4)	Form: D	Direct Ownership (Instr. 5)							
Common Shares			185,000	1	By Rosalind Advisors, Inc., the advisor to the Rosalind Funds							
(e.			e Securities Benefici nts, options, conver									
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. Convers or Exerc	ise Form:	6. Nature of Indirect Beneficial Ownership (Instr.					
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivativ Security							
Series E Convertible Preferred Stock	(1)	(1)	Common Shares	16,800	10	I	By Rosalind Advisors, Inc., the advisor to the Rosalind Funds <sup>(2)</sup>					
Series E-1 Convertible Preferred Stock	(1)	(1)	Common Shares	2,875	10	I	By Rosalind Advisors, Inc., the advisor to the Rosalind Funds <sup>(2)</sup>					
2019 Warrant	12/24/2019	12/24/2024	Common Shares	853,956	10	I	By Rosalind Advisors, Inc., the advisor to the Rosalind Funds <sup>(2)</sup>					
2020 pre-funded warrants	05/05/2020	05/05/2025	Common Shares	215,000	0.01	I	By Rosalind Advisors, Inc., the advisor to the Rosalind Funds <sup>(2)</sup>					

Table II - Derivative Securities Beneficially Owned     (e.g., puts, calls, warrants, options, convertible securities)									
1. Title of Derivative Security (Instr. 4)	2. Date Exerc Expiration Da (Month/Day/)	ate	3. Title and Amount of So Underlying Derivative Se (Instr. 4)		4. Conversion or Exercise	5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr.		
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative or Ind	Direct (D) or Indirect (I) (Instr. 5)	5)		
Series F Warrant	05/05/2020	05/05/2025	Common Shares	400,000	10	Ι	By Rosalind Advisors, Inc., the advisor to the Rosalind Funds <sup>(2)</sup>		

## Explanation of Responses:

1. Each share of Series E & E-1 Convertible Preferred Stock has no expiration date and a stated value of \$1,000 (the "Stated Value").

2. The securities are held by Rosalind Opportunities Fund I L.P. and Rosalind Master Fund L.P., collectively, the "Rosalind Funds".

## **Remarks:**

Each Reporting Persons disclaims beneficial ownership over the shares except to the extent of his or its respective pecuniary interest therein.

<u>/s/ Steven Salamon,</u>
President Rosalind
Advisors, Inc.
** Signature of Reporting

Person

05/13/2020

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 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).

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.