SEC Form 4

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

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

OMB APPROVAL

OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

1. Name and Add <u>Rosalind A</u> d	1 0		2. Issuer Name and Ticker or Trading Symbol <u>DELCATH SYSTEMS, INC.</u> [DCTH]		ationship of Reporting Pe (all applicable) Director	erson(s) to Issuer 10% Owner
(Last) 175 BLOOR S TOWER	(First)	(Middle) E 1316, NORTH	3. Date of Earliest Transaction (Month/Day/Year) 11/17/2020 4. If Amendment, Date of Original Filed (Month/Day/Year)	- C. Indii	Officer (give title below)	Other (specify below)
(Street) TORONTO A6 M4W 3R8		M4W 3R8		Line)	Form filed by One Re Form filed by More th Person	porting Person
(City)	(State)	(Zip)				
				er	• •	

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)	Transaction Code (Instr.		4. Securities Disposed Of 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Shares	11/17/2020		р		2,500	A	\$12.112	191,500 ⁽¹⁾	I (1)	By Rosalind Advisors, Inc., the advisor to the Rosalind Funds ⁽¹⁾

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. Transa Code (8)	Instr.	of			7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. Includes 185,000 previously reported as of May 13, 2020 in accordance with Form 3 filing indirectly owned as Officer(s) of Rosalind Advisors, Inc., the advisor to Rosalind Opportunities Fund I L.P. and Rosalind Master Fund L.P., collectively, the "Rosalind Funds".

/s/ Steven Salamon, President, 11/19/2020

Rosalind Advisors, Inc.

** 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.