SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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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 [•] Smith Dwight Eric | | | 2. Date of Event Re Statement (Month/I 01/01/2023 | | 3. Issuer Name and Ticker or Trading Symbol <u>ROCKY BRANDS, INC.</u> [RCKY] | | | | | |
|---|------------------------------|-------|--|--|---|---|-------------------------------------|--|---|---|
| (Last) (First) (Middle) 39 EAST CANAL STREET | | | | 4. Relationship of Reporting Perso (Check all applicable) X Director | | s) to Issuer 10% Owner | | 5. If Amendment, Date of Original Filed Month/Day/Year))1/03/2023 | | |
| (Street) NELSONVI | reet) ELSONVILLE OH 45764 | | | | | Officer (give title below) | Other (speci below) | · ' | 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 - No | n-Deriva | tive Secur | ities Beneficially | Owned | | | |
| 1. Title of Security (Instr. 4) | | | | | 2. Amount of Securities Beneficially Owned (Instr. 4) | | | | 4. Nature of Indirect Beneficial Ownership (Instr. 5) | |
| Common Stock, without par value | | | | | | 500 | D | | | |
| | | | | | | es Beneficially O ons, convertible s | | | | |
| 1. Title of Derivative Security (Instr. 4) | | | 2. Date Exercisable and Expiration Date (Month/Day/Year) | | 3. Title and Amount of Securities Derivative Security (Instr. 4) | | Underlying | 4. Conversi or Exerci | se (D) or | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
| | | | Date Exercisable | Expiration Date | n Title | | Amount or Number of Shares | Price of Derivativ Security | Indirect (I) e (Instr. 5) | |

Jeremy D. Siegfried, Attorney-in-01/19/2023 Fact

** 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 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.