

Zhang Mao  
Form 3  
February 05, 2019

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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## INITIAL STATEMENT OF 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

(Print or Type Responses)

1. Name and Address of Reporting  
Person \*

Â Zhang Mao

(Last)

(First)

(Middle)

60 EAST REN-MIN  
ROAD,Â DA-CHAI-DAN  
TOWN

(Street)

XAIXI COUNTY,QING HAI  
PROVINCE,Â F4Â 813300

(City)

(State)

(Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

02/04/2019

3. Issuer Name **and** Ticker or Trading Symbol  
SMARTHEAT INC. [HEAT]

4. Relationship of Reporting  
Person(s) to Issuer

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

(Check all applicable)

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

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 Beneficially Owned

1.Title of Security  
(Instr. 4)

2. Amount of Securities  
Beneficially Owned  
(Instr. 4)

3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)

4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)

Common Stock, par value \$.001 per share <sup>(1)</sup>  
(3)

32,441,543

I

Voting Proxy

Common Stock, par value \$.001 per share <sup>(2)</sup>  
(4)

83,836,959

D

Â

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

SEC 1473 (7-02)

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**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

## Edgar Filing: Zhang Mao - Form 3

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. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Zhang Mao 60 EAST REN-MIN ROAD DA-CHAI-DAN TOWN XAIXI COUNTY,QING HAI PROVINCE,Â F4Â 813300	Â X	Â X	Â	Â

## Signatures

/s/ Mao Zheng by /s/ Robert Newman Attorney in Fact for Mao  
Zhang

02/05/2019

\_\_Signature of Reporting Person

Date

## 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).
- (1) Proxy terminates upon issuance of 80,625,099 shares to Mr. Zhang by the company.
- (2) Shares will be issued after increase of authorized shares of the company to 500,000,000.
- (3) Includes 1,230,427 shares held by Mr. Zhang's spouse.
- (4) Includes 3,211,860 shares held by Mr. Zhang's spouse.

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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