## 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 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP 0.5 hours per response obligations may continue. See Instruction 1(b) Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person (Check all applicable) <u>Shockwave Medical, Inc.</u> [SWAV ] Papiernik Antoine Director 10% Owner 3. Date of Earliest Transaction (Month/Day/Year) Officer (give title Other (specify 06/13/2023 below) below) (Last) (Middle) (First) C/O SHOCKWAVE MEDICAL, INC. 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) 5403 BETSY ROSS DRIVE Form filed by One Reporting Person Form filed by More than One Reporting (Street) Person SANTA 95054 CA **CLARA** Rule 10b5-1(c) Transaction Indication Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10. (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 1. Title of Security (Instr. 3) 2. Transaction 2A. Deemed 5. Amount of 6. Ownershin 7. Nature of Date Execution Date Transaction Securities Beneficially Form: Direct Indirect (Month/Dav/Year) if anv Code (Instr. and 5) (D) or Beneficial (Month/Day/Year) Owned Following Ownership (Instr. 4) 8) Indirect (I) (Instr. 4) Reported Transaction(s) (A) or (D) v Code Amount Price (Instr. 3 and 4) Common Stock 06/13/2023 A 736 A \$0.00 5,281 D By Sofinnova Common Stock 12.251 I Capital VII FCPR Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of 3. Transaction 3A. Deemed 6. Date Exercisable and 7. Title and 8. Price of 9. Number of 11. Nature 10. of Indirect derivative Securities Ownership Derivative Conversion Execution Date Transaction Number Expiration Date (Month/Day/Year) Amount of Securities Derivative (Month/Day/Year) Beneficial Security or Exercise if any Code (Instr. of Security Form: Direct (D) or Indirect Price of Derivative (Month/Dav/Year) Derivative Underlying Derivative (Instr. 3) 8) (Instr. 5) Beneficially Ownership (Instr. 4) Securities Owned Security Acquired Security Following (I) (Instr. 4) (A) or Disposed (Instr. 3 and 4) Reported Transaction(s) of (D) (Instr. 3, 4 (Instr. 4) and 5) Amount Number Date Expiration of Code (A) (D) Exercisable Date Title Shares

Explanation of Responses:

**Remarks:** 

/s/ Wade Estey, as attorney-in-06/15/2023

fact for Antoine Papiernik

\*\* 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.

OMB APPROVAL

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