| SEC Form 4 | |
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FORM 4

obligations may continue. See

Instruction 1(b)

Check this box if no longer subject to Section 16. Form 4 or Form 5

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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|----------------------|--------------------------|-----|--|--|--|--|
| OMB APPROVAL | | | | | | |
| OMB Number: 3235-028 | | | | | | |
| | Estimated average burden | | | | | |
| | hours per response: | 0.5 | | | | |

| STATEMENT | OF CHANGES I | N 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 | | | | | |
|--|--|--|--|--|--|--|
| 1. Name and Address of Reporting Person [*] Zacharias Isaac | 2. Issuer Name and Ticker or Trading Symbol <u>Shockwave Medical, Inc.</u> [SWAV] | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner | | | | |
| (Last) (First) (Middle) C/O SHOCKWAVE MEDICAL, INC. | 3. Date of Earliest Transaction (Month/Day/Year) 01/12/2024 | X Officer (give title Other (specify below) below) President, CCO | | | | |
| 5403 BETSY ROSS DRIVE | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person | | | | |
| (Street) SANTA CLARA CA 95054 | | Form filed by More than One Reporting Person | | | | |
| (City) (State) (Zip) | 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. | | | | | |
| 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 Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 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 (Instr. 4) |
|---------------------------------|--|---|-----------------------------|---|--|---------------|-------------------|---|---|---|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | (1150.4) |
| Common Stock | 01/12/2024 | | A | | 7,506 ⁽¹⁾ | A | \$ <mark>0</mark> | 49,112 | D | |
| Common Stock | 01/12/2024 | | F | | 3,113 | D | \$212.97 | 45,999 | D | |
| Common Stock | 01/17/2024 | | М | | 9,222 | Α | \$4.026 | 55,221 | D | |
| Common Stock | 01/17/2024 | | М | | 8,699 | A | \$6 .71 | 63,920 | D | |

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

3A. Deemed 1. Title of 3. Transaction 5. Number 6. Date Exercisable and 7. Title and 8. Price of 9. Number of 10. 11. Nature Derivative Conversion Date Execution Date Transaction of Expiration Date (Month/Day/Year) Amount of Derivative derivative Ownership of Indirect if any (Month/Day/Year) Derivative Securities Security (Instr. 3) or Exercise Price of Code (Instr. 8) Securities Underlying Security (Instr. 5) Securities Beneficially Form: Direct (D) Beneficial Ownership (Month/Day/Year) **Derivative Security** Derivative Acquired Owned or Indirect (Instr. 4) (A) or Disposed Following Reported Security (Instr. 3 and 4) (I) (Instr. 4) of (D) (Instr. 3, 4 and 5) Transaction(s) (Instr. 4) Amount Number Date Expiration Date of Code ν (A) (D) Exercisable Title Shares Common Stock \$4.026 01/17/2024 Μ 9,222 (2)04/10/2028 9,222 \$<mark>0</mark> 0 D Option Stock Stock Commor \$6.71 01/17/2024 М 8,699 (2) 11/14/2028 8,699 \$<mark>0</mark> 31,709 D Option Stock

Explanation of Responses:

1. Represents the vesting and settlement of a performance-based restricted stock unit award granted on February 1, 2022, resulting from the achievement of certain performance criteria related to the compound annual growth rate of the Issuers revenue during the measurement period January 1, 2022 through December 31, 2023.

2. Fully vested **Remarks:**

> /s/ Wade Estey, as attorney in 01/17/2024 fact for Isaac Zacharias

** 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.