Common Stock

Common Stock

Common Stock

Common Stock

Common Stock

Common Stock Common Stock

FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, I	D.C.	20549
---------------	------	-------

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

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

1. Name and Address of Reporting Person*  PUCKETT DAN				uer Name <b>and</b> Tick ockwave Medi					ationship of Reportin k all applicable) Director Officer (give title	10% C	Owner (specify		
(Last) C/O SHOCKWA' 5403 BETSY RC	,	(Middle) NC.		3. Date of Earliest Transaction (Month/Day/Year) 10/15/2020						Chief Financial Officer			
(Street) SANTA CLARA (City)	(State)	95054 (Zip)	-	Amendment, Date of				Line)	'				
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned													
························   D		2. Trans: Date (Month/I	action Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Disposed Of			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		Price	Transaction(s) (Instr. 3 and 4)		(111501. 4)	
Common Stock		10/15	/2020		M <sup>(1)</sup>		341	A	\$3.416	37,649	D		
Common Stock		10/15	/2020		M <sup>(1)</sup>		672	Α	\$4.026	38,321	D		

 $M^{(1)}$ 

 $M^{(1)}$ 

 $S^{(1)}$ 

 $S^{(1)}$ 

 $S^{(1)}$ 

 $S^{(1)}$ 

**S**(1)

987

10,000

100

500

600

10,700

100

\$4.026

\$2.196

\$70.51

**\$72.1**<sup>(2)</sup>

\$73,22(3)

\$74.49(4)

\$74.93

A

 $\mathbf{A}$ 

D

D

D

D

D

39,308

49,308

49,208

48,708

48,108

37,408

37,308

D

D

D

D

D

D

D

10/15/2020

10/15/2020

10/15/2020

10/15/2020

10/15/2020

10/15/2020

10/15/2020

## 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)		of		6. Date Exercisable and Expiration Date (Month/Day/Year)		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)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Employee Stock Option (Right to Buy)	\$3.416	10/15/2020		M <sup>(1)</sup>			341	(5)	08/03/2027	Common Stock	341	\$0	6,711	D	
Employee Stock Option (Right to Buy)	\$4.026	10/15/2020		M <sup>(1)</sup>			672	(6)	07/19/2028	Common Stock	672	\$0	8,135	D	
Employee Stock Option (Right to Buy)	\$4.026	10/15/2020		M <sup>(1)</sup>			987	(6)	07/19/2028	Common Stock	987	\$0	7,148	D	
Employee Stock Option (Right to Buy)	\$2.196	10/15/2020		M <sup>(1)</sup>			10,000	(7)	05/18/2026	Common Stock	10,000	\$0	5,369	D	

## **Explanation of Responses:**

- 1. All transactions reported here were effected pursuant to a Rule 10b5-1 Plan adopted by the reporting person on 8/8/2019.
- 2. The price reported in Column 4 is a weighted average price. The reported securities were sold in multiple transactions at prices ranging from \$71.67 to \$72.50. The reporting person undertakes to provide to the issuer, any security holder of the issuer or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within such range.
- 3. The price reported in Column 4 is a weighted average price. The reported securities were sold in multiple transactions at prices ranging from \$72.87 to \$73.77. The reporting person undertakes to provide to the issuer, any security holder of the issuer or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within such range.
- 4. The price reported in Column 4 is a weighted average price. The reported securities were sold in multiple transactions at prices ranging from \$73.87 to \$74.69. The reporting person undertakes to provide to the issuer, any security holder of the issuer or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within such range.
- 5. 1/48th of the shares subject to the option shall vest monthly from 7/21/17.

 $6.\,\,1/48$ th of the shares subject to the option shall vest monthly from 7/19/18.

7. Twenty-Five percent of the shares subject to the option vested on 4/15/17 and the balance of the shares shall vest in equal monthly installments thereafter for 36 months.

/s/ Trinh Phung, as attorney-in-10/16/2020 fact for Dan Puckett

\*\* Signature of Reporting Person Date

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

- $^{\star}$  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.