SEC	Form 4
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## FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b). UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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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 Rep <u>PUCKETT DAN</u>	porting Person <sup>*</sup>	2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>Shockwave Medical, Inc.</u> [ SWAV ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner Officer (give title Other (specify
		3. Date of Earliest Transaction (Month/Day/Year) 05/03/2021	Chief Financial Officer
(Street) SANTA CLARA CA (City) (State)	95054 ) (Zip)	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 Form filed by More than One Reporting Person

## 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)	3. Transaction Code (Instr. 8)					5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	05/03/2021		M <sup>(1)</sup>		342	A	\$3.42	46,130	D	
Common Stock	05/03/2021		M <sup>(1)</sup>		959	A	\$4.03	47,089	D	
Common Stock	05/03/2021		<b>M</b> <sup>(1)</sup>		342	A	\$17	47,431	D	
Common Stock	05/03/2021		<b>M</b> <sup>(1)</sup>		857	A	\$17	48,288	D	
Common Stock	05/03/2021		<b>S</b> <sup>(1)</sup>		300	D	<b>\$155.82</b> <sup>(2)</sup>	47,988	D	
Common Stock	05/03/2021		<b>S</b> <sup>(1)</sup>		1,200	D	\$157.54 <sup>(3)</sup>	46,788	D	
Common Stock	05/03/2021		<b>S</b> <sup>(1)</sup>		500	D	<b>\$158.12</b> <sup>(4)</sup>	46,288	D	
Common Stock	05/03/2021		<b>S</b> <sup>(1)</sup>		400	D	\$160.51 <sup>(5)</sup>	45,888	D	
Common Stock	05/03/2021		<b>S</b> <sup>(1)</sup>		100	D	\$164.87(6)	45,788	D	

## 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)		5. Nu of Deriv Secu Acqu (A) of Dispo of (D (Instr and S	rities lired r osed ) . 3, 4	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)	\$3.42	05/03/2021		<b>M</b> <sup>(1)</sup>			342	(7)	08/03/2027	Common Stock	342	\$0	683	D	
Employee Stock Option (Right to Buy)	\$4.03	05/03/2021		<b>M</b> <sup>(1)</sup>			959	(8)	07/19/2028	Common Stock	959	\$0	4,107	D	
Employee Stock Option (Right to Buy)	\$17	05/03/2021		<b>M</b> <sup>(1)</sup>			342	(9)	03/06/2029	Common Stock	342	\$0	33,573	D	
Employee Stock Option (Right to Buy)	\$17	05/03/2021		<b>M</b> <sup>(1)</sup>			857	(9)	03/06/2029	Common Stock	857	\$0	32,716	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 \$155.66 to \$156.15. 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 \$156.98 to \$157.95. 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 \$158.03 to \$158.23. 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. The price reported in Column 4 is a weighted average price. The reported securities were sold in multiple transactions at prices ranging from \$160.23 to \$161.12. 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.

6. The price reported in Column 4 is a weighted average price. The reported securities were sold in multiple transactions at prices ranging from \$164.87 to \$164.87. 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.

- 7. 1/48th of the shares subject to the option shall vest monthly from 07/21/2017.
- 8. 1/48th of the shares subject to the option shall vest monthly from 07/19/2018.
- 9. 1/48th of the shares subject to the option shall vest monthly from 03/06/2019.

/s/ Wade Estey, as attorney-in-05/05/2021

\*\* Signature of Reporting Person Date

fact for Dan Puckett

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.

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