SEC Form 4

FORM 4

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

OMB Number:	3235-0287								
Estimated average burden									
hours per response:									

Instruction	1(b).		Filed pursuant to Section 16(a) of the Securities Exchange Act of 19	L hc	hours per response: 0.5			
	、 <i>/</i>		or Section 30(h) of the Investment Company Act of 1940					
1. Name and Address of Reporting Person* Sainz Maria			2. Issuer Name and Ticker or Trading Symbol Shockwave Medical, Inc. [SWAV]		ationship of Repo k all applicable)	Reporting Person(s) to Issuer ble)		
Sainz Ma	<u>ria</u>			X	Director	10%	owner	
				_	Officer (give t		Other (specify below)	
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 07/16/2020		below)	Deid	w)	
C/O SHOCI	KWAVE MEDIC	CAL, INC.	07/10/2020					
5403 BETS	Y ROSS DRIVE							
,			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	vidual or Joint/G	roup Filing (Chec	k Applicable	
(Street)				X	Form filed by	One Reporting P	erson	
SANTA	CA	95054				More than One F		
CLARA					Person	wore than one is	reporting	
(City)	(State)	(Zip)						
		Table I - Non-De	erivative Securities Acquired, Disposed of, or Ber	neficially	v Owned			
		1	1 1 1	1	1		1	

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transa Code (8)		4. Securities Disposed Of 5)				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	07/16/2020		Α		4,122(1)	A	\$ <mark>0</mark>	4,122	D	

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

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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 Exerc Expiration Da (Month/Day/)	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				

Explanation of Responses:

1. Reflects shares issuable on settlement of restricted stock units granted to the Reporting Person. Each restricted stock unit represents a contingent right to receive one shares of the issuer's common stock. The shares subject to the restricted stock units vest in equal annual installments over three years commencing on July 16, 2020, subject to the Reporting Person's continued service through each relevant vesting date.

<u>/s/Trinh Phung, as attorney-in-</u> <u>fact for Maria Sainz</u> 07/20/2020

** 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.