SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL 3235-0287 OMB Number: Estimated average burden

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\square	Section 16. Form 4 or Form 5	
\cup	obligations may continue. See	
	Instruction 1(b).	

STATEMENT OF CHANGES IN 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*	2. Issuer Name and Ticker or Trading Symbol Shockwave Medical, Inc. [SWAV]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
PUCKETT DAN		Director 10% Owner X Officer (give title Other (specify				
(Last) (First) (Middle) C/O SHOCKWAVE MEDICAL, INC. 5403 BETSY ROSS DRIVE	3. Date of Earliest Transaction (Month/Day/Year) 04/18/2022	Chief Financial Officer				
(Street) SANTA CLARA CA 95054 (City) (State) (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 Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	04/18/2022		F		1,009	D	\$206.28(1)	40,929	D	
Common Stock	04/19/2022		M ⁽²⁾		480	A	\$4.03	41,409	D	
Common Stock	04/19/2022		M ⁽²⁾		2,220	A	\$17	43,629	D	
Common Stock	04/19/2022		S ⁽²⁾		1,871	D	\$197.2 ⁽³⁾	41,758	D	
Common Stock	04/19/2022		S ⁽²⁾		1,000	D	\$203.01 ⁽⁴⁾	40,758	D	
Common Stock	04/19/2022		S ⁽²⁾		400	D	\$204.42 ⁽⁵⁾	40,358	D	
Common Stock	04/19/2022		S ⁽²⁾		420	D	\$206.31(6)	39,938	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)		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				
Stock Option	\$4.03	04/19/2022		M ⁽²⁾			480	(7)	07/19/2028	Common Stock	480	\$0.00	775	D	
Stock Option	\$17	04/19/2022		M ⁽²⁾			2,220	(8)	03/06/2029	Common Stock	2,220	\$0.00	12,210	D	

Explanation of Responses:

1. All reported securities were sold at a price of \$206.28.

2. All transactions reported here were effected pursuant to a Rule 10b5-1 Plan adopted by the reporting person on 3/9/2022.

3. The price reported in Column 4 is a weighted average price. The reported securities were sold in multiple transactions at prices ranging from \$197.06 to \$198.05. 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 \$202.55 to \$203.47. 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 \$204.05 to \$204.88. 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 \$205.78 to \$206.70. 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 07/19/2018

8. 1/48th of the shares subject to the option shall vest monthly from 03/06/2019

Remarks:

s/ Wade Estey, as attorney-infact for Dan Puckett

04/20/2022

** 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.