SEC Form 4

FORM 4

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

OMB APPROVAL	
OMB Number:	3235-0287
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1. Name and Address of Reporting Person* PUCKETT DAN (Last) (First) (Middle) C/O SHOCKWAVE MEDICAL, INC. 5403 BETSY ROSS DRIVE (Street) SANTA CLARA CA 95054 (City) (State) (Zip)	2. Issuer Name **and** Ticker or Trading Symbol Shockwave Medical, Inc. [SWAV]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)
	3. Date of Earliest Transaction (Month/Day/Year) 03/01/2021	Director 10% Owner X Officer (give title below) Other (specify below) Chief Financial Officer
	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)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	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			
Common Stock	03/01/2021		M[1]		342	A	$3.416	51,570	D	
Common Stock	03/01/2021		M[1]		1,658	A	$17	53,228	D	
Common Stock	03/01/2021		S[1]		200	D	$120.21[2]	53,028	D	
Common Stock	03/01/2021		S[1]		200	D	$121.16[3]	52,828	D	
Common Stock	03/01/2021		S[1]		600	D	$122.71[4]	52,228	D	
Common Stock	03/01/2021		S[1]		1,000	D	$123.92[5]	51,228	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. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		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	03/01/2021		M[1]			342	[6]	08/03/2027	Common Stock	342	$0	1,681	D	
Employee Stock Option (Right to Buy)	$17	03/01/2021		M[1]			1,658	[7]	03/06/2029	Common Stock	1,658	$0	45,024	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 $119.79 to $120.62. 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 $121.03 to $121.29. 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 $122.28 to $123.10. 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 $123.51 to $124.18. 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. 1/48th of the shares subject to the option shall vest monthly from 7/21/17.

7. 1/48th of the shares subject to the option shall vest monthly from 3/11/19.

/s/ Wade Estey, as attorney-in-fact for Dan Puckett   03/02/2021

** 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).