FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

wasimigton,	D.O. 20040	

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPF	ROVAL
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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

		or Section	on 30(h) of the	Investr	nent C	company Act o	of 1940						
1. Name and Address of Reporting Person*  PUCKETT DAN			Name <b>and</b> Tio					5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
FOCKETT DAN						x	Director	10% (					
		2. Data of Fadicat Transaction (Month (Back))							Officer (give title below)	below	(specify		
(Last) (First) (Midd	e)	3. Date of Earliest Transaction (Month/Day/Year) 11/01/2021							Chief Financial Officer				
C/O SHOCKWAVE MEDICAL, INC.													
5403 BETSY ROSS DRIVE													
		4. If Amendment, Date of Original Filed (Month/Day/Year)							6. Individual or Joint/Group Filing (Check Applicable Line)				
(Street)								Form filed by One	Reporting Pers	son			
SANTA CLARA CA 9505	4								Form filed by More than One Reporting Person				
(City) (State) (Zip)													
Table I -	Non-Deriva	tive Sec	curities Ac	quire	d, D	isposed o	f, or B	eneficially	Owned				
1. Title of Security (Instr. 3)  2. Transacting Date (Month/Day)		ear) Exec	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	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	11/01/202	21		M <sup>(1)</sup>		251	A	\$4.03	46,039	D			
Common Stock	11/01/202	21		M <sup>(1)</sup>		2,249	A	\$17	48,288	D			
Common Stock	11/01/202	21		S <sup>(1)</sup>		149	D	\$213.18 <sup>(2)</sup>	48,139	D			
Common Stock	11/01/202	21		S <sup>(1)</sup>		251	D	\$215.02 <sup>(3)</sup>	47,888	D			
Common Stock	11/01/202	21		S <sup>(1)</sup>		200	D	\$215.91 <sup>(4)</sup>	47,688	D			

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

S<sup>(1)</sup>

s(1)

S<sup>(1)</sup>

s(1)

S<sup>(1)</sup>

s(1)

S<sup>(1)</sup>

164

100

300

151

200

835

150

D

D

D

D

D

D

D

\$217.14<sup>(5)</sup>

\$218.43(6)

\$219.57(7)

\$220.46(8)

\$221.56(9)

\$222.66(10)

\$223.51(11)

47,524

47,424

47,124

46,973

46,773

45,938

45,788

D

D

D

D

D

D

D

			(0.9.,	puto,		,		o, optiono	, 00	D.0 0000					
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)		of Deri Sec Acq (A) o Disp of (I	oosed D) tr. 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				
Stock Option	\$4.03	11/01/2021		M <sup>(1)</sup>			251	(12)	07/19/2028	Common Stock	251	\$0.00	2,259	D	
Stock Option	\$17	11/01/2021		M <sup>(1)</sup>			2,249	(13)	03/06/2029	Common Stock	2,249	\$0.00	20,247	D	

## Explanation of Responses:

Common Stock

 $1. \ All \ transactions \ reported \ here \ were \ effected \ pursuant \ to \ a \ Rule \ 10b5-1 \ Plan \ adopted \ by \ the \ reporting \ person \ on \ 8/8/2019.$ 

11/01/2021

11/01/2021

11/01/2021

11/01/2021

11/01/2021

11/01/2021

11/01/2021

- 2. The price reported in Column 4 is a weighted average price. The reported securities were sold in multiple transactions at prices ranging from \$212.90 to \$213.74. 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 \$214.49 to \$215.38. 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 \$215.59 to \$216.39. 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 \$216.82 to \$217.33. 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 \$217.95 to \$218.91. 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. The price reported in Column 4 is a weighted average price. The reported securities were sold in multiple transactions at prices ranging from \$219.15 to \$220.05. 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.

- 8. The price reported in Column 4 is a weighted average price. The reported securities were sold in multiple transactions at prices ranging from \$220.19 to \$220.96. 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.
- 9. The price reported in Column 4 is a weighted average price. The reported securities were sold in multiple transactions at prices ranging from \$221.25 to \$222.06. 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.
- 10. The price reported in Column 4 is a weighted average price. The reported securities were sold in multiple transactions at prices ranging from \$222.33 to \$223.17. 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.
- 11. The price reported in Column 4 is a weighted average price. The reported securities were sold in multiple transactions at prices ranging from \$223.39 to \$223.66. 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.
- 12. 1/48th of the shares subject to the option shall vest monthly from 07/19/2018.
- 13. 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 11/02/2021

\*\* 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).

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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