SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL
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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 Ad Woock Joh	dress of Reporting Pe <u>n</u>	erson [*]		2. Issuer Name and Ti Axonics Modul AXNX]			• •	<u>, Inc.</u>	[tionship of Reporting all applicable) Director Officer (give title	10% (ssuer Owner (specify		
(Last) 26 TECHNO	(First) LOGY DRIVE	(Middle)	- I ·	3. Date of Earliest Transaction (Month/Day/Year) 01/26/2021							A below) below) Chief Marketing Officer				
(Street) IRVINE (City)	CA (State)	92618 (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 - N	Non-Derivat	ive Securities A	cquire	ed, D	isposed o	f, or B	enefic	cially (Owned				
Date			2. Transaction Date (Month/Day/Ye	ar) 2A. Deemed Execution Date, if any (Month/Day/Year)	Execution Date, Transaction if any Code (Inst		4. Securities Disposed Of			d 5)	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 01/26/20				1	М		5,435	A	\$ <mark>0.</mark>	00(1)	72,783	D			

									1 A A A A A A A A A A A A A A A A A A A				·		I
Common Stock 01/26/2			021)21			S ⁽²⁾	1,893	D	\$53.5766 ⁽⁾	³⁾ 70	,890	D		
		Та	able II - Deriva (e.g.,					uired, Disp , options,	,		-	Owned			
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)	Code	Transaction Code (Instr.		umber ivative urities uired or oosed O) tr. 3, 4 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				
Performance- Based Restricted Stock Units ⁽¹⁾	(1)	01/26/2021		М			5,435	(1)	(1)	Common Stock	5,435	\$0.00	0.00	D	

Explanation of Responses:

1. Each Performance-Based Restricted Stock Unit represents the contingent right to receive one share of common stock, subject to the Issuer's achievement of certain operational and performance objectives during the fiscal year ending December 31, 2020 and provided the reporting person remains in continuous service through December 31, 2020.

2. Shares of Issuer's common stock sold to cover the reporting person's tax obligation in connection with the conversion of the Performance-Based Restricted Stock Units disclosed herein.

3. This transaction was executed in multiple trades at prices ranging from \$53.14 to \$53.96. The price reported above reflects the weighted average price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

Remarks:

/s/ Dan Dearen, as Attorney-in-01/27/2021

Fact for John Woock, Ph.D

** 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.