SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

OMB Number:	OMB Number: 3235-0287								
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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

1. Name and Address of Reporting Person [*] COHEN RAYMOND W						2. Issuer Name and Ticker or Trading Symbol <u>Axonics, Inc.</u> [AXNX]								5. Relationship of Reporting Person(s) to Issue (Check all applicable) X Director 10% Ow					
(Last) (First) (Middle) 26 TECHNOLOGY DRIVE						3. Date of Earliest Transaction (Month/Day/Year) 01/31/2024								Х	below)	give title	utive	Other (s below) Officer	pecify
(Street) IRVINE	CA		2618		4. lf	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 				
(City)	(Stai	· · ·	(ip)	Non-Deriv		Rule 10b5-1(c) Transaction Indication Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10. ative Securities Acquired, Disposed of, or Beneficially Owned													
1. Title of Security (Instr. 3) (Month/Day				ion	2A. Deemed Execution Date, if any			3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and			5. Amount of Securities Beneficially Owned Followin			6. Ownership Form: Direct (D) or Indirect g (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 01/31/2					024	124			Μ		63,400	Α	\$ <mark>0</mark>	0.00	223,996			D	
Common S	Common Stock 01/31/20			024	124			S ⁽¹⁾		35,161	D	\$67.7	7359(2)	2) 188,835		D			
		Т	able								posed of, convertit				wned				
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)				Exp (Mo	Date Exe Diration I Onth/Day		7. Title and Amoun of Securities Underlying Derivative Security (Instr. 3 and 4)		5	8. Price of Derivative Security Instr. 5)	9. Number derivative Securities Beneficial Owned Following Reported Transactio (Instr. 4)	s Ily	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
					Code	v	(A)	(D)	Date Exe	e ercisable	Expiration Date	Title	or Nur of	ount mber ares					
Performance- Based Restricted Stock Units ⁽³⁾	(3)	01/31/2024			М			21,900	00 01/31/202		. (3)	Commo Stock		,900	\$0.00	0.00		D	
Performance- Based Restricted Stock Units ⁽⁴⁾	(4)	01/31/2024			М			41,500) 01/	/31/2024	. (4)	Commo Stock		,500	\$0.00	0.00		D	

Explanation of Responses:

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

2. This transaction was executed in multiple trades at prices ranging from \$67.53 to \$68.01. 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.

3. The number of Performance-Based Restricted Stock Units represents the target number of Performance-Based Restricted Stock Units that were granted to the reporting person on the date of grant, each of which represents the contingent right to receive one share of common stock, subject to the conditions set forth in the award agreement. Per the terms of the award agreement governing the Performance-Based Restricted Stock Units to the reporting person may ultimately become entitled ranges from 0% to 200% of the target number of Performance-Based Restricted Stock Units granted, based upon the total shareholder return of the Issuer's common stock relative to its peer group index over a performance period consisting of the two fiscal years ending January 31, 2024, and provided the reporting person remains in continuous service through January 31, 2024.

4. 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, 2023 and provided the reporting person remains in continuous service through January 31, 2024.

Remarks:

Kari L. Keese, as Attorney-in-

<u>fact for Raymond W Cohen</u> ** Signature of Reporting Person 02/02/2024

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.

POWER OF ATTORNEY Know all by these presents, that the undersigned hereby constitutes and appoints each of Kari L. Keese, and Michael A. Hedge, signing singly, as the undersigned's true and lawful attorney-in-fact to: execute for and on behalf of the undersigned, in the (1)undersigned's capacity as an officer and/or director of Axonics, Inc. (the "Company"), a Form ID and Forms 3, 4 and 5 in accordance with Section 16(a) of the Securities Exchange Act of 1934, as amended, and the rules thereunder; do and perform any and all acts for and on behalf of the (2)undersigned which may be necessary or desirable to complete and execute any such Form ID, 3, 4 or 5 and file such form with the United States Securities and Exchange Commission and any stock exchange or similar authority or organization; and (3) take any other action of any type whatsoever in connection with the foregoing which, in the opinion of such attorney-infact, may be of benefit to, in the best interest of, or legally required by, the undersigned, it being understood that the documents executed by such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as such attorney-in-fact may approve in such attorney-in-fact's discretion.

The undersigned hereby grants to each such attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever requisite, necessary or proper to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as the undersigned might or could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that such attorney-in-fact, or such attorney-in-fact's substitute or substitutes, shall lawfully do or cause to be done by virtue of this power of attorney and the rights and powers herein granted. The undersigned acknowledges that the foregoing attorneys-in-fact, in serving in such capacity at the request of the undersigned, are not assuming, nor is the Company assuming, any of the undersigned's responsibilities to comply with Section 16 of the Securities Exchange Act of 1934, as amended.

This Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Forms 3, 4 and 5 with respect to the undersigned's holdings of and transactions in securities issued by the Company, unless earlier revoked by the undersigned in a signed writing delivered to the foregoing attorneys-in-fact.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 4th day of October 2023. Raymond Cohen /s/ Raymond Cohen

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