SEC Form 4
------------

 $\square$ 

## FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

-	-								
OMB Number:	3235-0287								
Estimated average burden									
hours per response:	0.5								

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 <sup>*</sup> Sama Rinda			2. Issuer Name and Ticker or Trading Symbol <u>Axonics Modulation Technologies, Inc.</u> [ AXNX ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner X Officer (give title Other (specify below) below)
(Last) (First) (Middle) 26 TECHNOLOGY DRIVE		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 10/29/2020	Chief Operating Officer
(Street) IRVINE	СА	92618	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)	(State)	(Zip)		

#### 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 Disposed Of	Acquired (D) (Insti	i (A) or : 3, 4 and 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 (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock	10/29/2020		М		7,373	Α	\$14.19	127,374	D	
Common Stock	10/29/2020		М		2,627	Α	\$1.63	130,001	D	
Common Stock	10/29/2020		М		2,863	A	\$14.19	132,864	D	
Common Stock	10/29/2020		<b>S</b> <sup>(1)</sup>		6,200	D	<b>\$</b> 47.7129 <sup>(2)</sup>	126,664	D	
Common Stock	10/29/2020		<b>S</b> <sup>(1)</sup>		3,800	D	\$48.1247(3)	122,864	D	
Common Stock	10/29/2020		<b>S</b> <sup>(1)</sup>		2,863	D	\$48.6	120,001	D	
Common Stock	10/30/2020		<b>S</b> <sup>(1)</sup>		6,037	D	<b>\$</b> 47.8056 <sup>(4)</sup>	113,964	D	
Common Stock	10/30/2020		<b>S</b> <sup>(1)</sup>		1,100	D	\$48.5427(5)	112,864	D	
Common Stock	11/03/2020		<b>S</b> <sup>(1)</sup>		300	D	\$ <u>50</u>	112,564	D	
Common Stock								4,000	Ι	By Spouse

#### 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 Expir		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)		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 (Right to Buy)	\$14.19	10/29/2020		М			7,373	(6)	01/30/2029	Common Stock	7,373	\$0.00	48,112	D	
Stock Option (Right to Buy)	\$14.19	10/29/2020		М			2,863	(6)	01/30/2029	Common Stock	2,863	\$0.00	45,249	D	
Stock Option (Right to Buy)	\$1.63	10/29/2020		М			2,627	(7)	03/30/2028	Common Stock	2,627	\$0.00	8,916	D	

#### Explanation of Responses:

1. This sale was pursuant to a 10b5-1 plan adopted by the reporting person on September 22, 2020.

2. This transaction was executed in multiple trades at prices ranging from \$47.01 to \$48.00. 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. This transaction was executed in multiple trades at prices ranging from \$48.01 to \$48.50. 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.

4. This transaction was executed in multiple trades at prices ranging from \$47.35 to \$48.28. 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.

5. This transaction was executed in multiple trades at prices ranging from \$48.42 to \$48.63. 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.

6. The shares subject to the option will vest over a period of four years, with 1/4th of the shares subject to the option vesting on January 30th, 2020, and the remainder vesting at a rate of 1/36th per month commencing upon the one-year anniversary of January 30th, 2020, provided the reporting person remains in continuous service on each vesting date, subject to accelerated vesting in certain events, including upon certain changes of control of the Issuer. The option is subject to an early exercise provision and is immediately exercisable.

7. 25% of the Total Number of Shares shall vest upon the Vesting Commencement Date. The remainder shall vest at a rate of 1/36th per month commencing upon the one-year anniversary of the Vesting Commencement Date beginning on 30-Mar-2018

Remarks:

/s/ Dan Dearen, as Attorney-in-Fact for Rinda Sama 11/03/2020

\*\* 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.