

[] Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. *See* Instruction 1(b).

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

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## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

Name and Address of Reporting Person *					2.	2. Issuer Name <b>and</b> Ticker or Trading Symbol						ıbol	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
Roberts Johanna					P	Penumbra Inc [ PEN ]							(Check an app	nicaoic)			
(Last) (First) (Middle)				3.	3. Date of Earliest Transaction (MM/DD/YYYY)							Director 10% Owner					
												Officer (give title below) Other (specify below)					
ONE PENUMBRA PLACE						8/9/2021							EVP, Gen. Counsel & Secretary				
(Street)				4.	4. If Amendment, Date Original Filed (MM/DD/YYYY)							6. Individual or Joint/Group Filing (Check Applicable Line)					
ALAMEDA, CA 94502 (City) (State) (Zip)												X_Form filed by One Reporting Person Form filed by More than One Reporting Person					
				e I - N	lon-De	rivat	ive Se	curities A	cqui	red, D	isposed	of, or Ber	neficially Owne	ed			
1.Title of Security (Instr. 3)			2. Trans. Date		2A. Deemed Execution Date, if any		3. Trans. Co (Instr. 8)	de	Disposed of (D)		5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)			Ownership Form: of India Benefic	7. Nature of Indirect Beneficial Ownership		
								Code	V	Amount	(A) or (D)	Price					(Instr. 4)
Common Stock 8/9/2021				2021			M		2500	A	\$22.04	5	3824 (1)		D		
Common Stock 8/9/2021				2021	S <sup>(2)</sup> 300 D \$259.10 (3) 53524 (1)			D									
Common Stock 8/9/2021				2021			S <sup>(2)</sup>		100	D	\$260.02	53424 (1)			D		
Common Stock 8/9/2021				2021	S(2) 500 D S262.57 (4) 52924 (1)			D									
Common Stock 8/9/2021				2021			S <sup>(2)</sup>		650	D	\$263.67 <sup>(5)</sup>	52274 (1)		D			
Common Stock 8/9/2021				2021			S <sup>(2)</sup>		650	D	\$264.46 <sup>(6)</sup>	51624 (1)		D			
Common Stock 8/9/2021				2021			S <sup>(2)</sup>		300	D	\$265.16 <sup>(7)</sup>	51324 (1)			D		
		ble II - De	rivativ										options, conve				
1. Title of Derivate Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans. Date	3A. De Execut Date, in	ion	on (Instr. 8		Derivati Acquire Dispose			6. Date Exercisable and Expiration Date		7. Title and Securities U Derivative 9 (Instr. 3 and	nderlying Derivative security		derivative Securities Beneficially Owned	Form of Derivative Security:	11. Nature of Indirect Beneficial Ownership (Instr. 4)
					Code	V	(A)	(D)	Date Exer	cisable	Expiration Date	Title	Amount or Number of Shares		Following Reported Transaction(s) (Instr. 4)	Direct (D) or Indirect (I) (Instr. 4)	
Stock Option (right to buy)	\$22.04	8/9/2021			M			2500		<u>(8)</u>	8/11/2025	Common Stock	2500.0	\$0	47500	D	

## **Explanation of Responses:**

- (1) A portion of these shares is subject to vesting.
- (2) The sales were effected pursuant to the Reporting Person's Rule 10b5-1 trading plan.
- (3) This transaction was executed in multiple trades at prices ranging from \$258.99 to \$259.29. The price reported above reflects the weighted average sale price. The Reporting Person hereby undertakes to provide to the SEC staff, the Issuer or a security holder of the Issuer, upon request, 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 \$262.09 to \$262.92. The price reported above reflects the weighted average sale price. The Reporting Person hereby undertakes to provide to the SEC staff, the Issuer or a security holder of the Issuer, upon request, 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 \$263.24 to \$263.95. The price reported above reflects the weighted average sale price. The Reporting Person hereby undertakes to provide to the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares and prices at which the transaction was effected.
- (6) This transaction was executed in multiple trades at prices ranging from \$264.14 to \$264.88. The price reported above reflects the weighted average sale price. The Reporting Person hereby undertakes to provide to the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares and prices at which the transaction was effected.
- (7) This transaction was executed in multiple trades at prices ranging from \$265.03 to \$265.34. The price reported above reflects the weighted average sale price. The Reporting Person hereby undertakes to provide to the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares and prices at which the transaction was effected.

(8) All shares are vested and exercisable.

**Reporting Owners** 

Paparting Owner Name / Address	Relationships							
Reporting Owner Name / Address	Director	10% Owner	Officer	Other				
Roberts Johanna								
ONE PENUMBRA PLACE			EVP, Gen. Counsel & Secretary					
ALAMEDA, CA 94502			·					

## **Signatures**

/s/ Johanna Roberts	8/11/2021		
**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.

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 control number.