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 Addre Ju Chi-Hong (Last) 20243 PIERCE	(First)	ng Person [*] (Middle)	<u>A</u> 3.	Issuer Name and Tic MBARELLA Date of Earliest Trans //03/2021	INC [AM	IBA]			ationship of Reportir k all applicable) Director Officer (give title below) Sr. Vice Pres	10% (Other below	Dwner (specify)
(Street) SARATOGA (City)	CA (State)	95070 (Zip)	4.	If Amendment, Date (of Original Fil	ed (Month/Day	/Year)	6. Indi Line) X	vidual or Joint/Grou Form filed by On Form filed by Mo Person	e Reporting Per	son
		Table I - No	n-Derivativ	e Securities Acc	quired, Di	sposed of,	or Be	neficially	y Owned		
Date		2. Transaction Date (Month/Day/Yea	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)				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)		
Ordinary Shares	12/03/2021	М		2,897	Α	(1)	135,670 ⁽²⁾	D	
Ordinary Shares	12/03/2021	S		1,495 ⁽³⁾	D	\$192.69	134,175	D	
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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)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		ate	Amount of			9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	Form:	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. Each restricted stock unit represents a contingent right to receive one share of Ambarella, Inc. Ordinary Shares.

2. Includes 108 shares acquired under the Company's employee stock purchase plan on September 15, 2021.

3. Shares sold to pay tax obligations resulting from the vesting of restricted stock units.

By: /s/ Michael Morehead,

<u>Attorney-in-Fact For: Chi-</u> <u>Hong Ju</u>

** Signature of Reporting Person Date

12/07/2021

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.