SEC Form 4

П

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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*						2. Issuer Name and Ticker or Trading Symbol									5. Relationship of Reporting Person(s) to Issuer						
Day Christopher					<u>A</u>	AMBARELLA INC [AMBA]									(Chec	k all applic Directo	applicable)			ner	
																			10% Owner Other (specify		
(Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year)												X	below)			below)					
3101 JAY STREET							06/16/2021									VP, Marketing					
0101011												ļ									
(Street)	- 4.	4. If Amendment, Date of Original Filed (Month/Day/Year)										6. Individual or Joint/Group Filing (Check Applicable Line)									
SANTA CLARA CA 95054																X Form filed by One Reporting Person					
															Form filed by More than One Reporting						
(City)	(S	tate)	(Zip)			Person															
	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																				
1. Title of S	Security (Inst	tr. 3)		2. Trans Date	action										5. Amour				7. Nature of ndirect		
				(Month/	Day/Ye	ar) i	Execution Date, if any (Month/Day/Year)		Transaction Code (Instr.) 8)				r. 3, 4 a	and 5)	Beneficia	Beneficially (r Indirect	Beneficial Dwnership		
									,						Reported		d U			Instr. 4)	
										Code	v	Amount	(A) or (D) Pri		ce	(Instr. 3 and 4)					
Ordinary Shares 06/16/2					5/202	2021			М		2,826 A		(1)	12,731		D					
Ordinary Shares 06/16				5/202	2021			S		1,445 ⁽²⁾ D		\$1	01.39	11,286		D					
	Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned																				
	(e.g., puts, calls, warrants, options, convertible securities)																				
1. Title of Derivative	2. Conversion	3. Transaction Date	3A. Deeme Execution		4. Transa	oction	5. N			6. Date Exercisal Expiration Date		ble and	7. Title and Amount of			3. Price of Derivative	9. Numbe derivative		10. Ownership	11. Nature of Indirect	
Security	or Exercise	(Month/Day/Year)	if any	·	Code ((Month/Day/Yea		r)	Securities		19	Security	Securities		Form:	Beneficial Ownership		
(Instr. 3) Price of (Month/Day/Year) 8) Derivative					8)		Acquired			Derivative) Ówned			Direct (D) or Indirect	(Instr. 4)	
	Security					(A) or Disposed of (D) (Instr. 3, 4							(Instr. 3 a	and 4)			Following Reported		(I) (Instr. 4)		
																Transaction(s) (Instr. 4)					
				-			and 5)		5)												
														Amc or	ount						
									Da	te	E	xpiration		Num	nber						
					Code	v	(A)	(D)		ercisable		ate	Title	Sha	res						
Restricted Stock Units	(1)	06/16/2021			М			1,212		(3)	0	6/15/2021 ⁽³⁾	Ordinary Shares	1,2	12	\$0.0	0		D		
Restricted Stock Units	(1)	06/16/2021			М			668		(4)	03	3/15/2022 ⁽⁴⁾	Ordinary Shares	66	58	\$0.0	2,003	3	D		

Stock Units **Explanation of Responses:**

(1)

(1)

Restricted

Restricted

Stock Units

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

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

06/16/2021

06/16/2021

3. The restricted stock units vest at the rate of 1/12 per quarter commencing on June 15, 2018.

4. The restricted stock units vest at the rate of 1/12 per quarter commencing on March 15, 2019.

5. The restricted stock units vest at the rate of 1/12 per quarter commencing on March 15, 2020.

6. The restricted stock units vest at the rate of 1/12 per quarter commencing on March 15, 2021.

By: /s/ Michael Morehead, Attorney-in-Fact For: Christopher Day

Ordinary

Shares

Ordinary

Shares

03/15/2023⁽⁵⁾

03/15/2024⁽⁶⁾

671

275

\$<mark>0.0</mark>

\$0.0

06/17/2021

4,699

3,027

D

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).

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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.

671

275

(5)

(6)