SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

	ROVAL						
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

Line) X Form filed by One Reporting Person (Street) SAN CARLOS CA 94070 (City) (State) (Zip) Rule 10b5-1(c) Transaction Indication	1. Name and Address of Reporting Person* GRAF FINCKENSTEIN FRIEDRICH				er Name and Ticke ANCE BIOT		ymbol <u>UTICS, INC.</u> [5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner V Officer (give title Other (specify				
Use of the Royal and the Ro	. ,	· · /	. ,						,		v)	
SAN CARLOS CA 94070 Form filed by More than One Reporting Person (City) (State) (Zip) Rule 10b5-1(c) Transaction Indication Image: 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.	825 INDUSTRIAL ROAD, 4TH FLOOR			4. If A	mendment, Date of	Original Filed	(Month/Day/Year)	, ,				
(City) (State) (Zip) Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended in satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.	, ,	СА	94070					X	Form filed by Mo			
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned	(City)	(State)	(Zip)	Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended to								
	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. Transa Code (8)		Disposed Of (D) (Instr. 3, 4 and		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)
0	Common Stock ⁽¹⁾	04/14/2023		М		2,812	Α	\$ <mark>0</mark>	30,930	D	
0	Common Stock ⁽²⁾	04/14/2023		F		1,395	D	\$5.64	29,535 ⁽³⁾	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

8. Price of Derivative 1. Title of Derivative Security (Instr. 3) 3. Transaction Date 3A. Deemed Execution Date 6. Date Exercisable and 5. Number 7. Title and Amount of 11. Nature 9. Number of 10. 4. Transaction Code (Instr. Z. Conversion of Expiration Date (Month/Day/Year) derivative Ownership of Indirect Beneficial if any or Exercise Price of Security (Instr. 5) Form: Direct (D) (Month/Day/Year) Derivative Securities Securities (Month/Day/Year) Underlying 8) Beneficially Ownership Securities Derivative Security (Instr. 3 and 4) Derivative Acquired Owned or Indirect (Instr. 4) (A) or Disposed Security Following (I) (Instr. 4) Reported of (D) (Instr. 3, 4 and 5) Transaction(s) (Instr. 4) Amount or Number Date Expiration (A) (D) Exercis Date Shares Code v Title Restricted Commor (4) 04/14/2023 (5) (5) 2,812 \$0.00 19,690 D м 2 812 Stock stock Units

Explanation of Responses:

1. 2,812 of the restricted stock units ("RSUs") issued to the Reporting Person on January 14, 2022 vested and settled on April 14, 2023.

2. Represents shares withheld by the Issuer to satisfy the mandatory tax withholding requirements upon vesting of restricted stock units. This is not an open market sale of securities.

3. Represents the common stock remaining after deducting the common stock withheld for taxes.

4. Each restricted stock unit represents a contingent right to receive one share of the Issuer's common stock.

5. The remaining RSUs will vest in seven equal quarterly installments.

/s/ Friedrich Graf Finckenstein 04/18/2023

** 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.