

Penumbra Inc  
 Form 4  
 September 23, 2015

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
 Expires: January 31, 2015  
 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 OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
 Bose Arani

(Last) (First) (Middle)  
 ONE PENUMBRA PLACE, 1351  
 HARBOR BAY PARKWAY  
 (Street)

ALAMEDA, CA 94502

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
 Penumbra Inc [PEN]

3. Date of Earliest Transaction  
 (Month/Day/Year)  
 09/23/2015

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
 Chief Innovator

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

**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 Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
|                                 |                                      |  | Code                           | V   | Amount or Price   |  |   |
| Common Stock <sup>(1)</sup>     | 06/23/2015                           |  | M                              |   | 300,000 A \$ 0.57   | 800,673  | D   |
| Common Stock <sup>(1)</sup>     | 06/23/2015                           |  | F                              |   | 68,482 <sup>(2)</sup> D \$ 14.46  | 732,191  | D   |
| Common Stock                    | 09/23/2015                           |  | C                              |   | 13,471 A <sup>(3)</sup>   | 745,662  | D   |
| Common Stock                    |                                      |  |                                |   |   | 250,000  | I <sup>(4)</sup> By Trust                             |
| Common Stock                    |                                      |  |                                |   |   | 250,000  | I <sup>(5)</sup> By Trust                             |



## Edgar Filing: Penumbra Inc - Form 4

The Series B Preferred Stock automatically converted into Common Stock on a 1:1 basis upon closing of the Issuer's initial public offering of Common Stock and had no expiration date.

- (4) Shares are held by the Arani Bose 2009 Family Trust.
- (5) Shares are held by the Shumita Bose 2009 Family Trust.
- (6) All shares are fully vested.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.