

Penumbra Inc
Form 4
August 24, 2016

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

(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)
08/22/2016

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 Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock	08/22/2016		M		10,100 A \$ 1.26	742,291	D
Common Stock	08/22/2016		S ⁽¹⁾		8,100 D 72.97	734,191	D
Common Stock	08/22/2016		S ⁽¹⁾		2,000 D 73.48	732,191	D
Common Stock	08/23/2016		M		10,000 A \$ 1.26	742,191	D
	08/23/2016		S ⁽¹⁾		7,800 D	734,391	D

Edgar Filing: Penumbra Inc - Form 4

Common Stock					\$ 72.75 (4)			
Common Stock	08/23/2016	S ⁽¹⁾	2,200	D	\$ 73.5 (5)	732,191	D	
Common Stock	08/24/2016	M	8,900	A	\$ 1.26	741,091	D	
Common Stock	08/24/2016	S ⁽¹⁾	316	D	\$ 70.82 (6)	740,775	D	
Common Stock	08/24/2016	S ⁽¹⁾	1,000	D	\$ 72.16 (7)	739,775	D	
Common Stock	08/24/2016	S ⁽¹⁾	7,484	D	\$ 73.03 (8)	732,291	D	
Common Stock	08/24/2016	S ⁽¹⁾	100	D	\$ 73.59	732,191	D	
Common Stock						250,000	I	By Trust (9)
Common Stock						250,000	I	By Trust (10)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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.

SEC 1474
(9-02)

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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Amount or Number of Shares
Stock Option (right to	\$ 1.26	08/22/2016		M	10,100	(11) 04/30/2017	Common Stock	10,100

Edgar Filing: Penumbra Inc - Form 4

- (9) Shares are held by the Arani Bose 2009 Family Trust.
- (10) Shares are held by the Shumita Bose 2009 Family Trust.
- (11) All shares are vested and exercisable.

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.