FORM 4

## **UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

| ashington, | D.C. | 20549 |  |
|------------|------|-------|--|

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

| OMB APPROVAL        |        |  |  |  |  |  |  |  |
|---------------------|--------|--|--|--|--|--|--|--|
| OMB Number: 3235-02 |        |  |  |  |  |  |  |  |
| Estimated average   | burden |  |  |  |  |  |  |  |
| hours per response  | : 0.5  |  |  |  |  |  |  |  |

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*  Wang May         |  |         |                                    |          | 2. Issuer Name and Ticker or Trading Symbol Cepton, Inc. [ CPTN ] |  |  |   |                 |   |                                |   | ck all app                           | tionship of Reporting P<br>all applicable)<br>Director   |                              | rson(s) to Is   |  |                 |         |
|--|--|---------|------------------------------------|----------|---|--|--|---|-----------------|---|--------------------------------|---|--------------------------------------|--|------------------------------|---|--|-----------------|---------|
| (Last)   | (Fir   | st) (N  | Middle)                            |          | 3. Date of Earliest Transaction (Month/Day/Year) 06/17/2024       |  |  |   |                 |   |                                |   |                                      | Office<br>below  | er (give title<br>v)         |   | Other (s<br>below)   | pecify          |         |
| C/O CEPTON, INC 399 W. TRIMBLE RD                          |  |         |                                    | 4. If A  | 4. If Amendment, Date of Original Filed (Month/Day/Year)          |  |  |   |                 |   | 6. Inc                         | Individual or Joint/Group Filing (Check Applicable ine) |                                      |  |                              |   |  |                 |         |
| (Street)   |  |         |                                    |          |   |  |  |   |                 |   |                                |   |                                      | V  |                              | •   |  | orting Perso    |         |
| SAN JOS  | SE CA  | 9       | 5131                               |          |   |  |  |   |                 |   |                                |   |                                      |  | Form<br>Perso                |   | re thar  | n One Repo      | orting  |
| (City)   | (Sta   | ate) (Z | Zip)                               |          | Rul   | Rule 10b5-1(c) Transaction Indication        |  |   |                 |   |                                |   |                                      |  |                              |   |  |                 |         |
|  |  |         |                                    |          |   | Check to satisfy to                          | his box<br>he affir                                | to indic  | cate that a     | a trans<br>condition  | action was m<br>ons of Rule 10 | ade pu<br>0b5-1(d                                       | rsuant t<br>c). See I                | o a cor<br>nstructi  | ntract, instruion 10.        | uction or writt   | en plar  | n that is inter | ided to |
|  |  | Table   | I - Nor                            | n-Deriva | tive S  | Secu   | rities   | Acq   | uired,          | Dis   | posed of                       | , or I  | 3enet                                | ficial   | ly Own                       | ed  |  |                 |         |
| 1. Title of Security (Instr. 3)  2. Transac Date (Month/Da |  |         |                                    | Execu    |   | Deemed<br>cution Date,<br>y<br>nth/Day/Year) |  | 3. Transaction Code (Instr. 8) 4. Securitie Disposed 0 5) |                 | es Acquired (A) o<br>Of (D) (Instr. 3, 4  |                                | A) or<br>, 4 and  | Benefic<br>Owned                     | ities Feicially (I<br>d Following (I   |                              | n: Direct<br>r Indirect<br>istr. 4)                               | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership                |                 |         |
|  |  |         |                                    |          |   |  |  | Code  | v               | Amount  | (A)<br>(D)                     | or P  | rice                                 |  | ted<br>action(s)<br>3 and 4) |   |  | Instr. 4)       |         |
| Common Stock <sup>(1)</sup> 06/17                          |  |         |                                    | 06/17/2  | 2024  |  | Α  |   | 10,000          | ) A   |                                | \$ <mark>0</mark>                                       | 27,692                               |  |                              | D   |  |                 |         |
|  | Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) |         |                                    |          |   |  |  |   |                 |   |                                |   |                                      |  |                              |   |  |                 |         |
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)        | erivative   Conversion   Date   Execution Date, ecurity   or Exercise   (Month/Day/Year)   if any  |         | Transaction Code (Instr. 8) S A (# |          | of<br>Deriv   | r<br>osed<br>)<br>r. 3, 4                    | 6. Date Exercis<br>Expiration Dat<br>(Month/Day/Ye |   | te              | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative<br>Security (Instr.<br>3 and 4) |                                | str.  | Price of derivative ecurity nstr. 5) | 9. Number<br>derivative<br>Securities<br>Beneficiall<br>Owned<br>Following<br>Reported<br>Transactio<br>(Instr. 4) | y                            | Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |                 |         |
|  |  |         |                                    |          | Code  | v  | (A)  | (D)   | Date<br>Exercis | able  | Expiration<br>Date             | Title   | Amou<br>or<br>Numb<br>of<br>Share    | per  |                              |   |  |                 |         |

## **Explanation of Responses:**

1. The Issuer awarded the Reporting Person 10,000 time-based restricted stock units ("RSUs"), each of which represents a contingent right to receive one share of the Issuer's common stock, that will vest on the first to occur of (i) June 17, 2025, or (ii) on the day immediately preceding the Issuer's first annual meeting of stockholders to occur after June 17, 2024.

The securities reported on this Form 4 have been adjusted to reflect the 1-for-10 reverse stock split of the Issuer's common stock effected on September 21, 2023.

/s/ May Wang

06/1<u>7/2024</u>

\*\* 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.