SEC Form 4
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## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL 3235-0287 OMB Number: Estimated average burden

0.5

hours per response:

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

1. Name and Address of Reporting Person*       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         Pei Jun	1. Title of Secur	ity (Instr. 3)	1	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) Disposed Of (D) (Instr. 3, 4 5)	and	5. Amount of Securities Beneficially Owned Following	6. Ownershi Form: Direc (D) or Indire	t Indirect
Pei Jun       Cepton, Inc. [ CPTN ]       (Check all applicable)       X Director X 10% Owner         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       (Check all applicable)       X Director X 10% Owner         C/O CEPTON, INC 399 W. TRIMBLE RD       3. Date of Earliest Transaction (Month/Day/Year)       CEO and President       CEO and President         (Street)       SAN JOSE       CA       95131       4. If Amendment, Date of Original Filed (Month/Day/Year)       6. Individual or Joint/Group Filing (Check Applicable Line)         X       Form filed by One Reporting Person Form filed by More than One Reporting Person Form filed by More than One Reporting Person       Form filed by More than One Reporting Person			Table I - Nor	n-Derivative	Securities Acc	quired, Dis	posed of, or Benef	icially	Owned		
Pei Jun       Cepton, Inc. [ CPTN ]       (Check all applicable)         (Last)       (First)       (Middle)         C/O CEPTON, INC 399 W. TRIMBLE RD       3. Date of Earliest Transaction (Month/Day/Year)       (Check all applicable)         (Street)       SAN JOSE       CA       95131	(City)	(State)	(Zip)							ore than One	e Reporting
Pei Jun     Cepton, Inc. [ CPTN ]     (Check all applicable)       (Last)     (First)     (Middle)       3. Date of Earliest Transaction (Month/Day/Year)     11/14/2022	,	СА	95131	4. lf /	Amendment, Date o	of Original File	ed (Month/Day/Year)	Line)	Form filed by O	ne Reporting	Person
Pei Jun (Check all applicable) (Check all applicable)	. ,	· · ·	· · · ·	11/1		saction (Month	n/Day/Year)	X	below)	b	elow)
		dress of Reporting	Person <sup>*</sup>			0	Symbol	(Check	all applicable)	•	

		(Month/Day/Year)	8)					Owned Following Reported	(I) (Instr. 4)	Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock								1,424,617	D	
Common Stock	11/14/2022		S		10,836	D	<b>\$1.75</b> <sup>(1)</sup>	28,784,268	Ι	See footnote <sup>(2)</sup>

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

			( 0 / 1	,								,			
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. Transa Code ( 8)		of Expira		Expiration Da	6. Date Exercisable and Expiration Date (Month/Day/Year)			8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

## Explanation of Responses:

1. The Reporting Person disposed 10,836 shares of Common Stock in multiple trades at prices ranging from \$1.65 to \$1.80, per share. The price reported in Column 4 above reflects the weighted average sale price for the transaction, rounded to the nearest cent. The Report hard by undertakes to provide to the Securities and Exchange Commission staff, the Issuer, or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

2. The shares of Common Stock are held by the Pei 2000 Trust, of which the Reporting Person is a trustee.

/s/ Ming Qiu, Attorney-in-Fact 11/15/2022

for Jun Pei

\*\* 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.

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