SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

| OMB Number: | 3235-0287 | | | | | | | | |
|--------------------------|-----------|--|--|--|--|--|--|--|--|
| 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). Eiled pur

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

| 1. Name and Address of DAVIS RICHA | 1 0 | | . Issuer Name and Ticl | | | (Check | tionship of Reportir all applicable) Director Officer (give title | 10% 0 | | |
|---|-------------------------------|----------|---|------------------|--------------------|------------------------|--|-----------------|-----|--|
| (Last) (F 101 BULLITT LN. | First) (Middle ., STE. 450 | () () | B. Date of Earliest Trans 08/16/2021 | action (Month | ı/Day/Year) | X | below) | resident | | |
| (Street) LOUISVILLE K | | | . If Amendment, Date o | of Original File | d (Month/Day/Year) | 6. Indiv Line) X | idual or Joint/Group Form filed by One Form filed by Mo Person | e Reporting Per | son | |
| City) (State) (Zip) 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 (D) or Indirect Owned Following 6. Ownership (Form: Direct (D) or Indirect Owned Following 7. Ni Or Indirect Owned Following | | | | | | | | | | |

| | | (Month/Day/Year) | 8) | \$) | | | | Reported | (i) (instr. 4) | (Instr. 4) |
|--------------|------------|------------------|------|-----|-----------------------|---------------|------------------------------|------------------------------------|----------------|------------|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | (1130. 4) |
| Common Stock | 08/16/2021 | | S | | 10,000 ⁽¹⁾ | D | \$3.07 ⁽²⁾ | 281,496 | D | |

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. Transa Code (8) | | of | | 6. Date Exerc Expiration Da (Month/Day/Y | 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4) | | 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) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |

Explanation of Responses:

1. The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on June 18, 2021.

2. The price reported in column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$3.03 to \$3.13, inclusive. The reporting person undertakes to provide Sypris Solutions, Inc., any security holder of Sypris Solutions, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in the footnote (2) to this Form 4.

Remarks:

Andrea J. Luescher by Power of Attorney on file with the

08/17/2021

Commission

** 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.