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 | | | | | | | | |

| CTATEMENIT | | CHANCES | INI | RENEEICIAL | OWNERSHIP |
|-------------|-----|---------|-----|-------------|------------------|
| JIAIEIVIENI | UF. | CHANGES | IIN | DEINEFICIAL | 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

| | | D* | 2. Issuer Name and Ticker or Trading Symbol | 5. Relationship of Reporting Person(s) to Issuer |
|--|----------------------|----------|--|---|
| 1. Name and Address of Reporting Person [*] <u>Privitera Salvatore</u> | | | <u>AtriCure, Inc.</u> [ATRC] | (Check all applicable) Director 10% Owner |
| (Last) 7555 INNOV | (First) ATION WAY | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year) 03/01/2021 | X Officer (give title Other (specify below) below) Chief Technical Officer |
| (Street) MASON | ОН | 45040 | 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 |
| (City) | (State) | (Zip) | | 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 Disposed Of 5) | | | Securities Beneficially | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--|---|---|---|------------------------------------|---------------|------------------------------|------------------------------------|---|---|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | (1130.4) |
| Common Stock | 03/01/2021 | | A | | 6,528 | A | \$0.00 ⁽¹⁾ | 74,974 | D | |
| Common Stock | 03/01/2021 | | A | | 4,901 | A | \$0.00 ⁽²⁾ | 79,875 | D | |
| Common Stock | 03/01/2021 | | F | | 8,819 ⁽³⁾ | D | \$66.31 | 71,056 | 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) | | 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) Image: Application of the second of (D) (Instr. 3, 4 and 5) 6. Date Exercisable and (Month/Day/Year) Image: Application of the second of (D) (Instr. 3, 4 and 5) 1 Image: Application of the second of (D) (Instr. 3, 4 and 5) 1 Image: Application of the second of (D) (Instr. 3, 4 and 5) 1 Image: Application of the second of (D) (Instr. 3, 4) 1 Image: Application of the second of (D) (Instr. 3, 4) 1 Image: Application of the second of (D) (Instr. 3, 4) 1 Image: Application of the second of (D) (Instr. 3, 4) 1 Image: Application of the second of (D) (Instr. 3, 4) 1 Image: Application of the second of (D) (Instr. 3, 4) 1 Image: Application of the second of (D) (Instr. 3, 4) 1 Image: Application of the second of (D) (Instr. 3, 4) 1 Image: Application of the second of (D) (Instr. 3, 4) 1 Image: Application of the second of (D) (Instr. 3, 4) 1 Image: Application of the second of (D) (Instr. 3, 4) Image: Applic | | 7. Titl Amou Secur Unde Deriv Secur 3 and | int of rities rlying ative rity (Instr. | 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 | | | | | Title | Amount or Number of Shares | | |

Explanation of Responses:

1. The Reporting person acquired these shares pursuant to the vesting and release of a Performance Share Award under the AtriCure, Inc. 2014 Equity Incentive Plan. The award had both a Company performance goal and a service period requirement, which were both met.

2. The Reporting Person acquired these shares pursuant to a Restricted Stock Award under the AtriCure, Inc. 2014 Stock Incentive Plan. One third of the shares will vest annually upon the respective one, two, and three year anniversaries of the date of grant.

3. The Reporting Person has elected to transfer these shares to the Company to satisfy the tax withholding obligation incurred upon the vesting and release of shares previously acquired pursuant to a Restricted Stock Award or Performance Share Award.

Remarks:

<u>/s/ Salvatore Privitera</u>

** Signature of Reporting Person Date

03/03/2021

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

 \ast 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.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).