SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

OMB Number:	3235-0287								
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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 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person* WERNER THOMAS H			2. Issuer Name and SUNPOWER		5,	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
WERNER	THUMAS	<u>H</u>]	X	Director	10% 0	Owner	
(Last) 51 RIO ROBI	(First) LES	(Middl		3. Date of Earliest Tra 03/02/2021	ansaction (Mc	nth/Day/Year)	x	Officer (give title below) Pres at	Other below nd CEO	(specify)	
(Street)				4. If Amendment, Da	te of Original	Filed (Month/Day/Year)	6. Indiv Line)	vidual or Joint/Grou	p Filing (Check	Applicable	
SAN JOSE	CA	9513 ₄	4				X	Form filed by On	e Reporting Per	son	
(City)	(State)	(Zip)						Form filed by Mo Person	re than One Re	porting	
	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned										
1. Title of Security (Instr. 3) 2. Transaction			2. Transaction	2A. Deemed	3.	4. Securities Acquired (A) or		5. Amount of	6. Ownership	7. Nature	

	Date (Month/Day/Year)	Execution Date, if any (Month/Day/Year)	Transaction Code (Instr. 8)		Disposed Of	(D) (Inst	r. 3, 4 and 5)	Owned Following	Form: Direct (D) or Indirect (I) (Instr. 4)	of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)	(11301.4)	(1150. 4)
Common Stock	03/02/2021		S ⁽¹⁾		37,063	D	\$37.1541(2)	359,705	D	
Common Stock	03/02/2021		S ⁽¹⁾		787	D	\$37.7776 ⁽³⁾	358,918	D	

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

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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. Nu of Deriv Secu Acqu (A) of Dispo of (D) (Instr and S	vative nities nired r osed) r. 3, 4	6. Date Exerc Expiration Da (Month/Day/Y	ate	Amou Secu Unde Deriv	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	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

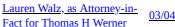
Explanation of Responses:

1. Shares sold to satisfy tax withholding obligations in connection with the vesting of Restricted Stok Units and Performance Based Restricted Stock Units

2. Price constitutes the average weighted price of shares sold. Shares were sold at varying prices in the range of \$36.760 - \$37.740. The reporting person hereby undertakes, upon request of the Commission, the issuer or a security holder of the issuer, to provide full information regarding the number of shares sold at each price.

3. Price constitutes the average weighted price of shares sold. Shares were sold at varying prices in the range of \$37.770 - \$37.810. The reporting person hereby undertakes, upon request of the Commission, the issuer or a security holder of the issuer, to provide full information regarding the number of shares sold at each price.

Remarks:



03/04/2021

** 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.