SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

OMB Number:	3235-0287										
Estimated average burden											
hours per response:	0.5										

Check this box i Section 16. Forr obligations may Instruction 1(b).	continue. See		Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940		P	OMB Number: Estimated aver hours per resp	rage burden	0.5
1. Name and Addre	1 0	Person*	2. Issuer Name and Ticker or Trading Symbol <u>Arteris, Inc.</u> [AIP]		all applicable Director	,	10% Own	ier
(Last) C/O ARTERIS,	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 11/15/2023	X	Officer (giv below) VP an	e title Id General C	Other (sp below) Counsel	ecity
900 E. HAMILT	FON AVE., SU	ITE 300	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi Line) X		/Group Filing (by One Report		cable
CAMPBELL	CA	95008			Form filed Person	by More than (One Reporti	ng
(City)	(State)	(Zip)	Rule 10b5-1(c) Transaction Indication X Check this box to indicate that a transaction was made pursuant is satisfy the affirmative defense conditions of Rule 10b5-1(c). See the second s			written plan tha	at is intended	to
		Table I - Non-De	erivative Securities Acquired, Disposed of, or Bene	ficially C	Owned			

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transa Code (8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported	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)		(1150.4)		
Common Stock	11/15/2023		M ⁽¹⁾		10,000(2)	A	\$0.56	53,070	D			
Common Stock	11/15/2023		M ⁽¹⁾		7,218 ⁽³⁾	A	\$0.6	60,288	D			
Common Stock	11/15/2023		S ⁽¹⁾		10,000	D	\$4.7834(4)	50,288	D			
Common Stock	11/15/2023		S ⁽¹⁾		7,218	D	\$4.784 ⁽⁵⁾	43,070	D			
Common Stock	11/15/2023		S ⁽¹⁾		1,748	D	\$4.7951(5)	41,322	D			
Common Stock	11/15/2023		S ⁽¹⁾		446	D	\$4.85	40,876 ⁽⁶⁾	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 Exercisable and Expiration Date (Month/Day/Year)		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				
Common Stock	\$0.6	11/15/2023		М			7,218	(3)	07/22/2030	Common Stock	7,218	\$0.00	11,250	D	
Common Stock	\$0.56	11/15/2023		М			10,000	(2)	10/23/2029	Common Stock	10,000	\$0.00	190,000	D	

Explanation of Responses:

1. Transaction made pursuant to a 10b5-1 trading plan that was adopted by the Reporting Person on August 16, 2023.

2. 25% of the total shares vested on August 26, 2020; thereafter, 1/48th of the total shares have vested monthly for 3 years. beginning on September 26, 2020.

3. 25% of the total shares vested on July 23, 2021; thereafter, 1/48th of the total shares vest monthly for 3 years. beginning on August 23, 2021.

4. The price reported in Column 4 is a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$4.60 to \$4.98 inclusive. The reporting person undertakes to provide the Issuer, any security holder of the Issuer, 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 range set forth in this footnote.

5. The price reported in Column 4 is a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$4.60 to \$4.94 inclusive. The reporting person undertakes to provide the Issuer, any security holder of the Issuer, 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 range set forth in this footnote.

6. Includes 40,876 restricted stock units.

Remarks:

/s/ Paul Alpern ** Signature of Reporting Person 11/17/2023

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.