SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL
OMB Number: 3235-0287

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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 Addr		Person*	2. Issuer Name and Ticker or Trading Symbol HashiCorp, Inc. [HCP]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
<u>Holmes Marc</u>					Director	10% Owner				
	(=:)	<i></i>	—	X	Officer (give title below)	Other (specify below)				
(Last) C/O HASHICO	(First) DRP, INC.	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 03/20/2022		Chief Marketir	ng Officer				
101 SECOND STREET, SUITE 700										
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	vidual or Joint/Group Fili	ng (Check Applicable				
SAN	CA	94105		X	Form filed by One Reporting Person					
FRANCISCO		54105			Form filed by More the Person	an One Reporting				
(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. 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)
Class A Common Stock	03/21/2022		С		3,317	Α	(1)	3,317	D	
Class A Common Stock	03/21/2022		S ⁽²⁾		3,317	D	\$48.0284(3)	0	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. Num Deriva Securi Acquir or Disj of (D) 3, 4 an	tive ties red (A) posed (Instr.	6. Date Exerc Expiration Da (Month/Day/)	ate	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	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		Transaction(s) (Instr. 4)		
Restricted Stock Units	(4)	03/20/2022		М			8,650	(5)	(5)	Class B Common Stock	8,650	\$0.00	8,650	D	
Class B Common Stock	(1)	03/20/2022		М		8,650		(1)	(1)	Class A Common Stock	8,650	\$0.00	8,650	D	
Class B Common Stock	(1)	03/21/2022		с			8,650	(1)	(1)	Class A Common Stock	8,650	\$0.00	0	D	

Explanation of Responses:

1. Each share of Class B Common Stock is convertible into one share of Class A Common Stock at the option of the holder and has no expiration date.

2. The reported shares were sold to satisfy the reporting person's tax obligations in connection with the vesting of restricted stock units, or RSUs.

3. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$47.86 to \$48.08, inclusive. The reporting person undertakes to provide to 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.

4. Each RSU represents a contingent right to receive one share of Issuer Class B Common Stock.

5. The RSUs vest in eleven equal quarterly installments beginning on June 20, 2022.

Remarks:

/s/ Paul Warensky, by power of 03/22/2022

attorney ** 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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