SEC Form 4

# FORM 4

Washington, D.C. 20549

OMB APPROVAL 3235-0287 OMB Number:

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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

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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 Baglino Andr	1 5		2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>Tesla, Inc.</u> [ TSLA ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
(Last) C/O TESLA, INC	(First) C.	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 03/29/2021	Director     10% Owner       Officer (give title below)     Other (specify below)       SVP Powertrain and Energy Eng.				
3500 DEER CREEK ROAD (Street)			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 Person				
PALO ALTO (City)	CA (State)	94304 (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)	ecution Date, Transaction ny Code (Instr.		4. Securities Disposed Of (			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	03/29/2021		<b>M</b> <sup>(1)</sup>		1,000	A	\$41.57	20,614	D	
Common Stock	03/29/2021		<b>S</b> <sup>(1)</sup>		1,500	D	\$615.75	19,114	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		3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code ( 8)				6. Date Exer Expiration D (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 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				
Incentive Stock Option (right to buy)	\$41.57	03/29/2021		M <sup>(1)</sup>			1,000	(2)	01/11/2026	Common Stock	1,000	\$0.0	2,570	D	

## **Explanation of Responses:**

1. The transactions reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on November 13, 2020.

2. Represents part of a single option award grant, including Incentive Stock Options, initially for an aggregate 132,395 shares. 1/48th of the aggregate shares subject to the option became vested and exercisable on February 11, 2016 and 1/48th of the shares subject to the option become vested and exercisable on each monthly anniversary thereafter, such that all such shares subject to this award became fully vested on January 11, 2020.

By: Aaron Beckman, Power of	
<u>Attorney For: Andrew D.</u>	03/31/2021

Attorney For: Andrew D.

**Baglino** 

\*\* 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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