SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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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* 2. Date of Event Statement (Mon 03/04/2024 03/04/2024					3. Issuer Name and Ticker or Tradin <u>Vivani Medical, Inc.</u> [VA				
(Last) C/O VIVANI 1350 S. LOOP (Street) ALAMEDA (City)	(First) MEDICAL, INC P ROAD CA (State)	(Middle) 2. 94502 (Zip)			4. Relationship of Reporting Person((Check all applicable) X Director Officer (give title below)	10% Owner Other (speci below)	(M 6. I Ap	5. 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	
			Table I - Non-		tive Securities Beneficially				
1. Title of Security (Instr. 4)					 Amount of Securities Beneficially Owned (Instr. 4) 			4. Nature of Indirect Beneficial Ownership (Instr. 5)	
Common Stock					0	D			
					ve Securities Beneficially Ov ants, options, convertible se				
1. Title of Derivative Security (Instr. 4)			2. Date Exercis Expiration Date (Month/Day/Ye	e	3. Title and Amount of Securities Derivative Security (Instr. 4)	Underlying	4. Conversion or Exercise	5. Ownership Form: Direct (D) or	6. Nature of Indirect Beneficial Ownership (Instr. 5)
				Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security	Indirect (I) (Instr. 5)	
Non-Qualified Stock Option (right to buy)			11/07/2022 ⁽¹⁾	11/06/2032	2 Common Stock	60,373	1.77	D	
Non-Qualified Stock Option (right to buy) 06/15/2017			06/15/2017 ⁽²⁾	06/14/2027	Common Stock	120,746	3.15	D	

Explanation of Responses:

1. The stock option was granted on November 7, 2022 with monthly vesting over four years beginning on October 11, 2021.

2. This stock option was fully vested as of June 15, 2021.

/s/ Judy Wong, Attorney-in-fact

** Signature of Reporting Person

03/11/2024 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 5 (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.

OMB APPROVAL