SEC Form 5

FORM 5

obligations may continue. See Instruction 1(b).

Form 3 Holdings Reported.

Check this box if no longer subject to Section 16. Form 4 or Form 5

UNITED STATES SECURITIES AND EXCHANGE COMMISSIO

Washington, D.C. 20549

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL									
OWNERSHIP									

OMB APPROVAL
OMB Number: 3235-0362
Estimated average burden

Estimated average burden	
hours per response:	1.0

X Form 4 Transacti	ons Reported.	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* RICCI PAUL			2. Issuer Name and Ticker or Trading Symbol <u>Personalis, Inc.</u> [PSNL]		ationship of Reporting Perso (all applicable) Director	10% Owner			
(Last) C/O PERSONAI	÷	(Middle)	3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year) 12/31/2019		Officer (give title below)	Other (specify below)			
1330 O'BRIEN DRIVE			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)					
(Street) MENLO PARK	CA	94025		X	Form filed by One Repor Form filed by More than Person	5			
(City)	(State)	(Zip)							
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned									

2. Transaction Date 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) 1. Title of Security (Instr. 3) 2A. Deemed 5. Amount of 7. Nature of 3. Transaction Code (Instr. 8) Execution Date. Securities Ownership Indirect Beneficial Ownership Beneficially Form: Direct (D) or (Month/Day/Year) if any (Month/Day/Year) Owned at end of Issuer's Fiscal Year (Instr. 3 and Indirect (I) (Instr. 4) (A) or (D) Amount Price (Instr. 4) 4) See Common Stock 12/13/2019 **S**4 D \$9.81 19,999 1 T Footnote⁽¹⁾ See Common Stock 20,000 T Footnote⁽²⁾

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. Transaction Code (Instr. 8)			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)
					(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. The shares are held of record by Michael T. Cody, as Trustee of the Paul A. Ricci Irrevocable Trust Under Agreement Dated May 27, 2011, of which the Reporting Person's children are beneficiaries.

2. The shares are held of record by Paul A. Ricci Living Trust Under Agreement Dated June 26, 2006, for which the Reporting Person serves as trustee.

Remarks:

<u>/s/ Aaron Tachibana, Attorney-</u> in-Fact 02/14/2020

Date

** Signature of Reporting Person

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.