SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

OMB APPROVAL

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l	hours per response:	0.5

			or Section 30(h) of the Investment Company Act of 1940							
1. Name and Addre	1 0		2. Issuer Name and Ticker or Trading Symbol Okta, Inc. [OKTA]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
		<u>IN A</u>	<u> </u>	X	Director	10% Owner				
,	DROWITZ BENJAMIN A st) (First) (Middle) D OKTA, INC. D FIRST ST, SUITE 600		[Officer (give title	Other (specify				
(Last) (First) (Middle)			3. Date of Earliest Transaction (Month/Day/Year) 06/13/2020		below)	below)				
C/O OKTA, INC. 100 FIRST ST, SUITE 600			00/13/2020							
100 FIRST ST,	SUITE 600									
			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	idual or Joint/Group Fili	ng (Check Applicable				
(Street) SAN				X	,					
FRANCISCO	CA	94105			Form filed by More th Person	an One Reporting				
(City)	(State)	(Zip)	—							

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)			Code (Instr.					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)
Class A Common Stock	06/13/2020		М		1,535	Α	(1)	17,270	D	
Class A Common Stock								1,005,059	Ι	By Trust ⁽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. Transa Code (8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		ate	e Amount of ar) Securities		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				
Restricted Stock Units	(1)	06/13/2020		М			1,535	(3)	(3)	Class A Common Stock	1,535	\$0.00	0	D	

Explanation of Responses:

1. Each Restricted Stock Unit ("RSU") represents the right to receive one share of the Issuer's Class A Common Stock.

2. The reported securities are held directly by a family trust for which the Reporting Person is a trustee.

3. The RSUs vested in full on June 13, 2020.

Remarks:

<u>/s/ Larissa Schwartz, attorney-</u> <u>in-fact of the Reporting Person</u> <u>06/15/2020</u>

** 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.

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.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).