SEC Form 4

# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

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* <u>Girin Pascal E R</u>						2. Issuer Name and Ticker or Trading Symbol <u>ClearPoint Neuro, Inc.</u> [ CLPT ]									ionship of Reporting Person(s) to Issuer all applicable) Director 10% Owner				
(Last)	(First)	(M		3. Date of Earliest Transaction (Month/Day/Year) 01/03/2023									Officer (give title below)			Other (specify below)			
C/O CLEARPOINT NEURO, INC. 120 S. SIERRA AVE., SUITE 100					4. lf /	4. If Amendment, Date of Original Filed (Month/Day/Year)									dual or Joint/Group Filing (Check Applicable Line) Form filed by One Reporting Person				
(Street) SOLANA BEACH CA 92075														Form file	d by More	than C	one Reportin	ig Person	
(City)	(State)		<sup>p)</sup> Ible I - No	n-Der	rivativ	e Se	curitie	s Aca	uired.	Disp	osed of	. or E	Benefi	cially Ov	/ned				
1. Title of Security (Instr. 3) 2. Tran Date					2. Transaction		A. Deemed Execution Date, if any (Month/Day/Year)		3. Transaction Code (Instr.		ies Acquired (A) or Of (D) (Instr. 3, 4 and		) or	5. Amount 5) Securities Beneficial Following		Form	vnership : Direct (D) direct (I) : 4)	7. Nature of Indirect Beneficial Ownership	
									Code	v	Amount		(A) or (D)	Price	<ul> <li>Transaction(s) (Instr. 3 and 4)</li> </ul>				(Instr. 4)
Common Stock 01/0					03/2023				Α		901		А	<b>\$7.97</b> <sup>(1)</sup>	49,653			D	
			Table II - I					•	,		sed of, o nvertible				ed				
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution D if any (Month/Day/	ate,	Code (Instr.		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercis Expiration Date (Month/Day/Yea		te	Secu Deriv	7. Title and Amou Securities Underl Derivative Securi (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	e s illy g	Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
					Code	v	(A)	(D)	Date Exercisa	able	Expiration Or			Amount or Number of Shares		Transacti (Instr. 4)	ion(s)	1(S)	

### Explanation of Responses:

1. These shares were issued pursuant to the issuer's Fourth Amended and Restated 2013 Incentive Compensation Plan, in payment of fees owed to the reporting person under the issuer's Non-Employee Director Compensation Plan, as amended and restated. The shares were issued at a price of \$7.97 per share, representing the volume-weighted average price of the issuer's common stock for the five-trading day period ending December 30, 2022.

#### Remarks:

#### Richard F. Mattern, by Power of Attorney for Pascal E.R. Girin

01/04/2023

\*\* 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.