SEC Form 5

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FORM 5

Form 3 Holdings Reported.

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

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

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ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

	Form 4 Transactions Reported. or Section 30(h) of the Investment Company Act of 1940																	
	Name and Addr D'Alessandr		ing Person [*]		2. Issuer Name and Ticker or Trading Symbol <u>ClearPoint Neuro, Inc.</u> [CLPT]							5. Relationship of Reporting Person(s) to Issuer (Check all applicable)						
L `	_ast) C/O CLEARPO	(First)	ddle)	3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year) 12/31/2022					x	Director Officer (giv below) Ch		10% Owner Other (specify below) ancial Officer						
120 S. SIERRA AVE., SUITE 100					4. If Amen	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					
(Street) SOLANA BEACH CA 92((City) (State) (Zip					*									Form filed by More than One Reporting Person				
Γ	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																	
Date				2. Transaction Date (Month/Day/Year)	2A. Deeme Execution	Date,	3. Transaction Code (Instr	n (Instr. 3, 4	4. Securities Acquired (A) or Disposed Of (Instr. 3, 4 and 5)				. Amount of Securities			rect Indi	7. Nature of Indirect Beneficial	
				(Month/Day/Tear)	(Month/Day		8)	Amount	Amount (A		Price		at end of Issuer's Fiscal Year (Instr. 3 and 4)		(I) (Instr.	4) Ow	Ownership (Instr. 4)	
Common Stock 12/30/2022						J		1,25	1,252		\$7.	2 ⁽¹⁾	54,729		D			
	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)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		Secu Deriv	7. Title and Amou Securities Under Derivative Securi 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Num derivat Securi Benefi Ownec Follow Report Transa	tive ties cially d ving	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
						(A)	(D)	Date Exercisable	Expiration Date			Amount or Number of Shares		(Instr. 4)				

Explanation of Responses:

1. The reporting person is voluntarily reporting the acquisition of the Issuer's common stock pursuant to the Employee Stock Purchase Plan ("ESPP"), for the ESPP purchase period of July 1, 2022 through December 30, 2022. In accordance with the ESPP, these shares were purchased at the lesser of 85% of the fair market value on either the first day or last day of the purchase period.

Remarks:

/s/ Richard F. Mattern, by Power 01/30/2023

of Attorney for Danilo

D'Alessandro

** 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.