## SEC Form 4

Instruction 1(b).

## FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See

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

OMB APPROVAL

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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* PATTON THOMAS M				ssuer Name <b>and</b> Tick ectroCore, Inc.	0	Symbol	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
								Director	10% (	Owner	
(Last) 200 FORGE W	(First) AY, SUITE 205	(Middle)		Date of Earliest Trans	action (Month	/Day/Year)		Officer (give title below)	Other below	(specify )	
			4. lf	Amendment, Date of	of Original File	d (Month/Day/Year)		vidual or Joint/Grou	p Filing (Check	Applicable	
(Street)							Line)				
ROCKAWAY	NJ	07866					X	Form filed by On	e Reporting Per	son	
	INJ	07800						Form filed by Mo Person	re than One Re	porting	
(City)	(State)	(Zip)									
	Та	ble I - No	on-Derivative	Securities Acc	luired, Dis	posed of, or Benet	icially	Owned			
1. Title of Security (Instr. 3) 2. Transaction				2A. Deemed	3.	4. Securities Acquired (A)		5. Amount of	6. Ownership	7. Nature	

	(Month/Day/Year)	Execution Date, if any (Month/Day/Year)	Code (		Disposed Of ( 5)	D) (Instr.	3, 4 and	Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	(D) or Indirect I (I) (Instr. 4)	of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price			(Instr. 4)
Common Stock	12/02/2022		A		205,987 <sup>(1)</sup>	Α	<b>\$0.00</b>	400,497 <sup>(2)</sup>	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. Transa Code ( 8)		n of		6. Date Exerc Expiration Da (Month/Day/Y	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)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

## Explanation of Responses:

1. Represents a grant of Deferred Stock Units as a part of an annual director award which vest in 12 equal monthly installments from the grant date; provided, however, that the Deferred Stock Units shall vest in full on the earlier of (i) the close of business one business day prior to the Issuer's next annual stockholder meeting on or after January 1, 2023, and (ii) the date immediately prior to a change of control, in each case, provided that the Reporting Person remains in continuous service with the Issuer or an affiliate through the applicable vesting date.

2. Includes 182,000 shares that have vested pursuant to previously issued Restricted Stock Units; 12,500 of shares will vest monthly through April 2, 2023. All such vested and unvested shares were previously reported on Form 4 filings at the time of grant.

<u>/s/</u>	John L. C	<u>leary, II, attorr</u>	<u>ney-</u> 12/06/2022
			12/00/2022

in-fact

\*\* Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 $^{\ast}$  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.