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

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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 [*] Elfrink Willem | | | | | 2. Issuer Name and Ticker or Trading Symbol HeartBeam, Inc. [BEAT] | | | | | | | | | | onship of Reporting Person(s) all applicable) Director | | |) to Issuer 10% Owner | |
|--|---|--|--|----------|---|--|---------------------------------|--|----|------------------|--|----|-------------------------------------|---|---|----------------|--|--|--|
| (Last) | (First) | (Middle) | | | 3. Date of Earliest Transaction (Month/Day/Year) 02/12/2023 | | | | | | | | | Officer (give title below) | | | Other (s below) | pecify | |
| 2118 WALSH AVE SUITE 210 | | | | 4. lf | 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) | | | | | | | | | | | | | | Form file | d by More | than C | One Reportin | g Person | |
| SANTA CLARA CA 95050 | | | | | | | | | | | | | | | | | | | |
| (City) | (State |) (Z | Zip) | | | | | | | | | | | | | | | | |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | | | | | | | | | | | | | |
| Date | | | | | e onth/Day/Year) | | emed ion Date, /Day/Year) | Transaction Dispos Code (Instr. | | | ities Acquired (A) or d Of (D) (Instr. 3, 4 and 5) | | | 5. Amount Securities Beneficially Following | y Owned Reported | Form | vnership : Direct (D) direct (I) . 4) | 7. Nature of Indirect Beneficial Ownership | |
| | | | | | | | | Code | v | Amount | (A) c (D) | or | Price | (Instr. 3 and | | | | (Instr. 4) | |
| 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 | Code (Ir | | 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) | | | 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4) | | | 8. Price of Derivative Security (Instr. 5) | 9. Numbe derivative Securities Beneficia Owned Following Reported | e s illy | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| | | | | Code | v | (A) | (D) | Date Exercisabl | | xpiration ate | Title | | Amount or Number of Shares | | Transaction(s) (Instr. 4) | | | | |
| Common Stock warrant (right to buy) | \$0.003 | 02/12/2023 | | с | | | 43,636 | 02/11/2019 | 02 | 2/09/2023 | Common Stock | | 43,636 | \$0.003 | 0 | | D | | |

Explanation of Responses:

/s/ Willem Elfrink

02/14/2023 on 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.