SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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obligations r Instruction 1	may continue. See (b).		Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934	hours per response:		0.		
-			or Section 30(h) of the Investment Company Act of 1940					
1. Name and Address of Reporting Person [*] <u> DAMATO NICOLE</u>			2. Issuer Name and Ticker or Trading Symbol <u>InnovAge Holding Corp.</u> [INNV]	(Check	ationship of F k all applicab Director Officer (giv	le)	son(s) to Issue 10% Owne Other (spec	er
(Last) 8950 E. LOV	(First) (Middle) E. LOWRY BOULEVARD	3. Date of Earliest Transaction (Month/Day/Year) 02/04/2022	X	below) CHIEF LEGAL OF		below)	,	
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	Line)		g (Check Appli	cabl	
DENVER	DENVER CO 80230			Form filed by One Reporting Person				
(City)	(State)	(Zip)	—		Form filed Person	by More than	n One Reportir	ıg

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)						5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock, \$0.001 par value	02/04/2022		A ⁽¹⁾		33,250	A	\$ <mark>0</mark>	58,130	D	
Common Stock, \$0.001 par value	03/16/2022		A ⁽²⁾		38,786	A	\$ <mark>0</mark>	96,916	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)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		ate	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)	Ownership Form:	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 Restricted Stock Units ("RSUs") which will be settled in shares of common stock of the Issuer, including (i) 16,625 RSUs which will vest in three equal annual installments starting on July 2, 2022 and (ii) 16,625 RSUs which will vest in two equal annual installments starting on July 2, 2022, in each case subject to the Reporting Person's continued service with the Issuer.

2. Represents RSUs which will be settled in shares of common stock of the Issuer, including (i) 19,393 which will vest in two equal annual installments starting on July 2, 2022, and (ii) 19,393 which will vest in three equal annual installments starting on July 2, 2022, in each case subject to the Reporting Person's continued service with the Issuer.

<u>/s/ Barbara Gutierrez, by</u> power of attorney

** Signature of Reporting Person Date

06/29/2022

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