SEC Form 4

FORM 4

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

OMB APPROVAL

OMB Number:	3235-0287								
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	Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).
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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 [*] Williams Cynthia W		2. Issuer Name and Ticker or Trading Symbol Aterian, Inc. [ATER]							5. Relationship of Reporting Person(s) to Issuer (Check all applicable)						
			[]						X	Director	10% 0	Dwner			
(Last)	(First)	(Middle)		3. Date of Earliest Transaction (Month/Day/Year) 09/13/2023							Officer (give title below)	Other below	(specify)		
350 SPRINGFIELD AVENUE SUITE #200			· · · · · · · · · · · · · · · · · · ·	4. If Amendment, Date of Original Filed (Month/Day/Year)							6. Individual or Joint/Group Filing (Check Applicable Line)				
(Street)											X Form filed by One Reporting Person				
SUMMIT	NJ	07901									Form filed by More than One Reporting Person				
(City)	(State)	(Zip)		Rule 10b5-1(c) Transaction Indication											
	Check this box to indicate that a transaction was made pursuant to satisfy the affirmative defense conditions of Rule 10b5-1(c). See I														
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned															
Date			2. Transacti Date (Month/Day	-	2A. Deemed Execution Date, if any (Month/Day/Year)	any Transaction Date, Code (Ins			Acquired (D) (Insti	d (A) or 7. 3, 4 and	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)		(1130.4)			
Common Stock 09/13/2		09/13/20	023		A ⁽¹⁾		270,270	A	\$ <mark>0</mark>	396,670	D				
	Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, ontions, convertible securities)														

			(e.g., pr	115, 00	ans, v	vaiio	ants,	options, c	Junventin	ie se	cunities	27			
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)		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. Comprised solely of shares of restricted common stock granted pursuant to the Issuer's 2018 Equity Incentive Plan that are subject to vesting.

/s/ Cynthia W. Williams

<u>09/15/2023</u>

** 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.