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

OMB APPROVAL OMB Number 3235-0287 Estimated average burden 0.5 hours per response:

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 [*] Johnson Michael						2. Issuer Name and Ticker or Trading Symbol Flux Power Holdings, Inc. [FLUX]								ionship of I all applicat Director		Person(s) X	s) to Issuer 10% O	
(Last) (First) (Middle)					3. Date of Earliest Transaction (Month/Day/Year) 03/07/2023									Officer (g below)	give title		Other (below)	specify
C/O FLUX POWER HOLDINGS, INC. 2685 S. MELROSE DRIVE					4. If Amendment, Date of Original Filed (Month/Day/Year)							e	6. Indivi X	,				
(Street) VISTA, CA 92081 (City) (State) (Zip)													Form file	d by More	than O	ne Reportir	ng Person	
		Та	ible I - N	lon-Der	ivative	e Secu	irities Ac	quired	d, Di	sposed of,	, or Ben	eficiall	y Ow	ned				
Date				ate Execut lonth/Day/Year) if any		2A. Deemed Execution Date, if any (Month/Day/Year)		ction nstr.	4. Securities Acquired (A) or Di Of (D) (Instr. 3, 4 and 5)			osed	5. Amount of Securities Beneficially Owned Following Reported		6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)		7. Nature of Indirect Beneficial Ownership	
							Code	v	Amount	(A) or (D) Price			Transaction(s) (Instr. 3 and 4)				(Instr. 4)	
Common Stock ⁽¹⁾ 03/07/2					2023			S		155	D \$6.47)5 ⁽²⁾⁽³⁾	4,389,741 ⁽⁴⁾			I ⁽⁴⁾	See footnote ⁽⁴⁾
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)																		
1. Title of Derivative 2. Conversion or Exercise Price of Derivative 3. Transaction Date (Month/Day/Year) 3A. Deer Execution if any (Month/Day/Year)		n Date,	Date, Transaction Code (Instr.		. Number of Derivative Securities Acquired (A) or Disposed of D) (Instr. 3, 4 and 5)	Expi (Mon	ration	ercisable and Date //Year)	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)		10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)			

Explanation of Responses:

1. Represents the shares of common stock sold by Esenjay Investments, LLC, a Delaware limited liability company ("Esenjay").

2. This transaction was effected pursuant to a Rule 10b5-1 trading plan previously adopted by this reporting person.

3. The price reported in Column 4 is a weighted average price. These shares were sold in the open market in multiple transactions, at prices ranging from \$6.47 to \$6.485, inclusive. Upon request by the Securities and Exchange Commission staff, the Issuer, or a security holder of the Issuer, the Reporting Person will provide full information regarding the number of shares sold at each separate transaction.

(D)

Date

Exercisable

Expiration

Title

Date

Code v (A)

4. These securities are held by Esenjay. The Reporting Person is the sole director and beneficial owner of Esenjay.

Remarks:

Exhibit 24 - Power of Attorney (previously filed as Exhibit 24 to Form 4 dated May 2, 2022)

/s/ Charles A. Scheiwe, Attorney-03/09/2023 in-fact for Michael Johnson

** Signature of Reporting Person

Amount

of Shares

or Number

Date

(Instr. 4)

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.