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 [*] Sozio Scott				Name and Ticker o a Corp. [KER		g Sym	bol	(Check	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner					
(Last) (First) (Middle) C/O AKERNA CORP.				f Earliest Transaction 022	on (Montl	h/Day/	Year)	X	Officer (give title below)	Other (specify below)				
1550 LARIMER STREET, SUITE 246				4. If Amendment, Date of Original Filed (Month/Day/Year)						6. Individual or Joint/Group Filing (Check Applicable Line)				
(Street) DENVER (City)	CO (State)	80202 (Zip)								X Form filed by One Reporting Person Form filed by More than One Reporting Person				
		Table I - No	n-Derivative S	ecurities Acq	uired,	Disp	osed of, or	Benefic	ially Ow	vned				
Date			2. Transaction Date (Month/Day/Year)	Execution Date,		tion str.	4. Securities A Disposed Of (D			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership		
					Code	v	Amount	(A) or (D)	Price	(Instr. 3 and 4)		(Instr. 4)		
Common Shares 10/2			10/21/2022		М		125(1)	A	(2)	13,380(1)	D			

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

Μ

1,153(1)

10/21/2021

				-							-				
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. Transaction Code (Instr. 8)		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. Number of derivative Securities Beneficially Owned Following Reported	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		Transaction(s) (Instr. 4)		
Restricted Stock Units	(2)	10/21/2022		М			1,152 ⁽¹⁾	(3)	(3)	Common Shares	1,152(1)	\$ <mark>0</mark>	2,304 ⁽¹⁾	D	
Restricted Stock Units	(2)	10/21/2022		М			125 ⁽¹⁾	(4)	(4)	Common Shares	125(1)	\$ 0	250 ⁽¹⁾	D	

Explanation of Responses:

Common Shares

1. The transactions and totals reported herein reflect the Issuer's 20:1 reverse stock split effective as of November 8, 2022.

2. Each restricted stock unit represents a contingent right to receive one share of the Issuer's common stock.

3. The restricted stock units ("RSUs") were granted on September 1, 2020, and vest as follows: 1/4 on July 1, 2021; 1/4 on July 1, 2022; 1/4 on July 1, 2023; and 1/4 on July 1, 2024. Settlement of the RSUs will occur as soon as administratively feasible following the applicable vesting dates.

4. The RSUs were granted on September 4, 2020, and vest as follows: one-fourth on July 1, 2021; one-fourth on July 1, 2022; one-fourth on July 1, 2023; and one-fourth on July 1, 2024. Settlement of the vested RSUs will occur as soon as administratively feasible following the applicable vesting date.

/s/ Scott Sozio	
** Signature of Reporting Person	

(2)

Α

14,533(1)

D

11/30/2022 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.