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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| OMB APPROVAL | | | | | | | |
|--------------|-----------|--|--|--|--|--|--|
| OMB Number: | 3235-0287 | | | | | | |

Estimated average burden hours per response: 0.5

| 1. Name and Address of Reporting Person [*] SHERMAN NICOLETTE D | | | 2. Issuer Name and Ticker or Trading Symbol Certara, Inc. [CERT] | | tionship of Reporting Pers all applicable) Director | on(s) to Issuer 10% Owner |
|---|-------------------------------------|----------------|---|------------------------|--|--|
| (Last) C/O CERTARA 100 OVERLOC | (First) , INC. DK CENTER, SUI | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year) 08/01/2021 | X CHII | Officer (give title below) EF HUMAN RESOUF | Other (specify below) RCES OFFICER |
| (Street) PRINCETON (City) | NJ (State) | 08540 (Zip) | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Indiv Line) X | idual or Joint/Group Filing Form filed by One Repo Form filed by More than Person | rting Person |

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 | 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 | Reported Transaction(s) (Instr. 3 and 4) | | (1150.4) |
| Common Stock | 08/01/2021 | | A | | 10,107(1) | Α | \$ <mark>0</mark> | 10,107 | D | |
| Common Stock | 08/01/2021 | | A | | 5,513 ⁽²⁾ | Α | \$ <mark>0</mark> | 15,620 | 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) | | of Deriv Secu Acqu (A) of Dispo of (D) | rivative (Month/Day/Year) ccurities quired) or sposed (D) str. 3, 4 | | Expiration Date Amount (Month/Day/Year) Securitie Underlyii Derivativ | | | iration Date Amount of Securities Underlying Darive Security Securities Securities Underlying Derivative Security (Instr. | | | 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. Represents 10,107 restricted stock units ("RSUs") granted to the reporting person that will entitle the reporting person to receive one share of the Issuer's Common Stock per RSU. The RSUs will vest, and the underlying shares will be concurrently issued in a series of three equal histallments upon the reporting person's completion of each 12 month period of service over the period measured from August 1, 2022 to August 1, 2024, subject to the continued service of the reporting person through such vesting dates.

2. Represents 5,513 RSUs granted to the reporting person that will entitle the reporting person to receive one share of the Issuer's Common Stock per RSU. The RSUs will cliff vest on August 1, 2022, subject to the continued service of the reporting person through the vesting date

| <u>/s/ Richard D. Traynor,</u> | |
|--------------------------------|------------|
| Attorney-in-Fact for Nicolette | 08/03/2021 |
| D Shorman | |

** 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.