

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL	
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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).

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

Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan for the purchase or sale of equity securities of the issuer that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.

1. Name and Address of Reporting Person* <u>HOURTIENNE MITCHELL</u> (Last) (First) (Middle) <u>C/O CEPTON, INC.</u> <u>399 W. TRIMBLE ROAD</u> (Street) <u>SAN JOSE CA 95131</u> (City) (State) (Zip)	2. Issuer Name and Ticker or Trading Symbol <u>Cepton, Inc. [CPTN]</u>	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner <input checked="" type="checkbox"/> Officer (give title below) Other (specify below) <u>Chief Commercial Officer</u>
	3. Date of Earliest Transaction (Month/Day/Year) <u>01/07/2025</u>	
4. If Amendment, Date of Original Filed (Month/Day/Year)		

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)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	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			
Common Stock	01/07/2025		D		76,486	D	\$3.17 ⁽¹⁾	0	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. 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 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
Employee Stock Option (right to buy)	\$6.8	01/07/2025		D		52		12/20/2022	12/19/2028	Common Stock	52	(2)	0	D	
Employee Stock Option (right to buy)	\$9.7	01/07/2025		D		920		11/20/2023	11/19/2029	Common Stock	920	(2)	0	D	
Employee Stock Option (right to buy)	\$10.2	01/07/2025		D		3,937		01/31/2024	02/25/2030	Common Stock	3,937	(2)	0	D	
Employee Stock Option (right to buy)	\$12.6	01/07/2025		D		6,122		11/23/2024	12/23/2030	Common Stock	6,122	(2)	0	D	
Employee Stock Option (right to buy)	\$12.6	01/07/2025		D		24,492		02/08/2025	02/11/2031	Common Stock	24,492	(2)	0	D	
Performance Stock Units	(3)	01/07/2025		D		6,700		(3)	02/11/2025	Common Stock	(3)	(3)	0	D	

Explanation of Responses:

- Pursuant to the terms of the Agreement and Plan of Merger, dated as of July 29, 2024 (the "Merger Agreement"), entered into by and among the Issuer, KOITO MANUFACTURING CO., LTD. and Project Camaro Merger Sub, Inc. ("Merger Sub"), whereby Merger Sub merged with and into the Issuer (the "Merger") on January 7, 2025 (the "Effective Time"), represents restricted stock units ("RSUs") that were outstanding immediately prior to the Effective Time, whether or not vested, which were cancelled and converted into the right to receive (without interest) an amount in cash, less any withholding taxes, determined by multiplying (i) \$3.17 by (ii) the number of shares of Common Stock underlying such RSU award immediately prior to the Effective Time; provided that receipt of the cash consideration for unvested RSUs will remain subject to the vesting conditions applicable to such RSU prior to the Effective Time.
- These stock options were canceled in the Merger in exchange for a cash payment based on the product of (i) the number of shares of Common Stock subject to the canceled stock options multiplied by (ii) the excess, if any, of \$3.17 over the per share exercise price of the option, which cash payment was \$0.00 since this option had an exercise price that exceeded \$3.17.
- Pursuant to the Merger Agreement, each performance-based restricted stock unit outstanding immediately prior to the Effective Time did not vest and was cancelled without payment at the Effective Time.

Remarks:

/s/ Mitchell Hourtienne

01/07/2025

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.