SEC Form 4

FORM 4

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

Other (specify

below)

CFO

6. Individual or Joint/Group Filing (Check Applicable

Form filed by One Reporting Person

Form filed by More than One Reporting

1

STATEMEN	OMB Number: 3235- Estimated average burden			
Filed	pursuant to Section 16(a) of the Securities Exchange Act or or Section 30(h) of the Investment Company Act of 1940		hours per response:	0.5
	2. Issuer Name and Ticker or Trading Symbol Roivant Sciences Ltd. [ROIV]	5. Relationship o (Check all applica Director	,	to Issuer 6 Owner

Line)

Χ

Person

(First) (Middle) (Last) C/O ROIVANT SCIENCES LTD. 7TH FLOOR, 50 BROADWAY

1. Name and Address of Reporting Person

(Street) LONDON	X0	SW1H 0DB
(City)	(State)	(Zip)

Officer (give title Х 3. Date of Earliest Transaction (Month/Day/Year) below)

4. If Amendment, Date of Original Filed (Month/Day/Year)

10/30/2023

(City)	(State)	(Zip)	Rul	Rule 10b5-1(c) Transaction Indication										
			X s	X Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.										
	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned													
1. Title of Security (Instr. 3)		Date	isaction n/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)					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 S	hares	10/3	30/2023		J		2,360 ⁽¹⁾	D	\$8.39	277,352	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)		5. Number of Expiration Date Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		ate Amount of		8. Price of Derivative Security (Instr. 5) 9. Number of derivative Security Beneficially Owned Following Reported Transaction(s) (Instr. 4)	Ownership	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 the sale of Common Shares pursuant to a "sell-to-cover" transaction in order to satisfy applicable tax withholding obligations in connection with the vesting and settlement of restricted stock units ("RSUs") previously granted to the reporting person. This sale was effected pursuant to a "sell to cover" policy entered into pursuant to the requirements of Rule 10b5-1 and does not represent a discretionary sale by the reporting person.

> Bv: /s/ Jo Chen, as Attorney-11/01/2023 in-Fact for Richard Pulik

** 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.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See

Instruction 1(b).

Pulik Richard