SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

RSHIP	OMB Number:	3235-028				
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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).	
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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

1. Name and A <u>Pratt Ann</u>	ddress of Reporting	Person [*]	2. Issuer Name and Ticker or Trading Symbol Nxu, Inc. [NXU]		ationship of Reporting k all applicable) Director	Pers X	on(s) to Issuer 10% Owner
(Last) C/O NXU, I	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 09/15/2023	X	Officer (give title below) Presic	lent	Other (specify below)
1828 N. HIC 	GLEY RD., SUIT	'E 116	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indi Line) X	vidual or Joint/Group I Form filed by One I	Repoi	ting Person
MESA	AZ	85205			Form filed by More Person	than	One Reporting
(City)	(State)	(Zip)	Rule 10b5-1(c) Transaction Indication			ıplan	that is intended to

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Table 1 - Holl-Bertrauve decartics Acquired, Disposed of, of Bertenetally Owned												
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Transaction Code (Instr.					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)		
Class A Common Stock ⁽¹⁾	09/15/2023		A		66,667 ⁽²⁾	A	(3)	10,544,379	D			
Class A Common Stock ⁽¹⁾	10/19/2023		S		23,100 ⁽⁴⁾	D	\$0.04	10,521,279	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 Derivative Securities Acquired (A) or Disposed		Expiration Date (Month/Day/Year) S			e and int of rities rlying ative rity (Instr. 4)	9. Number of derivative Securities Beneficially Owned Following Reported	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
						of (D) (Instr. 3, 4 and 5)				o unu 4)		Transaction(s) (Instr. 4)		
				Code	v			Date Exercisable	Expiration Date	Title	Amount or Number of Shares			

Explanation of Responses:

1. The transaction is being reported later due to an inadvertent administrative error.

2. The Reporting Person is eligible to receive a number of Performance Stock Units with a value of up to 6.25% of the Reporting Person's total annual compensation each quarter for four quarters, subject to the Reporting Person's continuous service and certain other performance conditions, beginning on the last day of the third quarter of 2023. The number of Performance Stock Units granted is calculated by dividing the dollar value of the award by the closing share price on the first trading day immediately preceding the 15th day of the month prior to each vesting date. On September 15, 2023, the Reporting Person was granted 66,667 Performance Stock Units, which vested on September 30, 2023. The Performance Stock Units may be settled solely by delivery of an equal number of shares of Class A common stock of the Issuer.

3. Each restricted stock unit represents a contingent right to receive one share of Class A common stock of the Issuer.

4. Represents shares of Class A common stock sold to cover tax withholding obligations and other applicable fees in connection with the vesting and settlement of Performance Stock Units pursuant to mandatory "sell to cover" provisions contained in the Reporting Person's applicable Performance Stock Unit grant agreement, and does not represent a discretionary sale by the Reporting Person.

Remarks:

See Exhibit 24 - Power of Attorney

<u>/s/ Jordan Christensen, as</u> attorney-in-fact

04/19/2024

** 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.

Know all by these presents that the undersigned hereby constitutes and appoints each of Annie Pratt and Jordan Christensen, signing singly, the undersigned's true and lawful attorney-in-fact to:

1. Execute for and on behalf of the undersigned, in the undersigned's capacity as an officer, director or greater than 10% shareholder of Nxu, Inc. ("Nxu"), Forms 3, 4 and 5 in accordance with Section 16(a) of the Securities Exchange Act of 1934 and the rules and regulations promulgated thereunder;

2. Do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete and execute any such Form 3, 4 or 5, complete and execute any amendment or amendments thereto and timely file such form with the United States Securities and Exchange Commission and any national quotation system, national securities exchange, stock exchange or similar authority; and

3. Take any other action of any type whatsoever in connection with the foregoing which, in the opinion of such attorney-in-fact, may be of benefit to, in the best interest of or legally required by the undersigned, it being understood that the documents executed by such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as such attorney-in-fact may approve in such attorney-in-fact's discretion.

The undersigned hereby grants to such attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever requisite, necessary or proper to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as the undersigned might or could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that such attorney-in-fact, or such attorney-in-fact's substitute or substitutes, shall lawfully do or cause to be done by virtue of this Power of Attorney and the rights and powers herein granted. The undersigned acknowledges that the foregoing attorney-in-fact, in serving in such capacity at the request of the undersigned, is not assuming, nor is Nxu assuming, any of the undersigned's responsibilities to comply with Section 16 of the Securities Exchange Act of 1934.

This Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Forms 3, 4 and 5 with respect to the undersigned's holdings of and transactions in securities issued by Nxu, unless earlier revoked by the undersigned in a signed writing delivered to the foregoing attorney-in-fact.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this January 6, 2024 .

/s/ Annie Pratt -----Annie Pratt