SEC Form 5

## FORM 5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. *See* Instruction 1(b).

Form 3 Holdings Reported.

[X] Form 4 Transactions Reported.

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

## ANNUAL 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 Address of Reporting Person[*] <br> Patel Rahul G. | 2. Issuer Name **and** Ticker or Trading Symbol <br> Energous Corp [ WATT ] | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) <br> X Director    10% Owner <br> Officer (give title below)    Other (specify below) |
|---|---|---|
| (Last) (First) (Middle) <br> C/O ENERGOUS CORPORATION <br> 3590 NORTH FIRST STREET, SUITE 210 | 3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year) <br> 12/31/2021 | |
| (Street) <br> SAN JOSE    CA    95134 <br> (City) (State) (Zip) | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Individual or Joint/Group Filing (Check Applicable Line) <br> X Form filed by One Reporting Person <br> Form filed by More than One Reporting 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) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) | | | 5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---|---|---|---|---|---|---|---|---|---|
| | | | | Amount | (A) or (D) | Price | | | |
| Common Stock | 08/15/2021 | | M4 | 14,021 | A | $0.00[1] | 31,730[2][3] | 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) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | |
| Restricted stock units | $0.00[1] | 08/15/2021 | | 4M | | 14,021 | (4) | (5) | Common Stock | 14,021 | $0.00 | 14,021 | D | |

**Explanation of Responses:**

1. Each RSU represents a contingent right to receive 1 share of the Issuer's common stock upon settlement.

2. Includes 25,000 shares subject to unvested restricted stock units ("RSUs").

3. The total number of shares reported in Table I, Column 5 of Form 4 filed on each of January 5, 2022 and February 17, 2022 was understated by 14,021 shares.

4. The RSUs vest as to 1/3 of the total shares annually on the first three anniversaries of August 15, 2019.

5. RSUs do not expire; they either vest or are canceled prior to the vesting date.

**Remarks:**

/s/ Bill Mannina, Attorney-in-Fact     05/20/2022

** 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.**