SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL
OMB Number: 3235-0104
Estimated average burden
hours per response: 0.5

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

White Ched Norman	2. Date of Event Rec Statement (Month/Da 10/03/2022	/Day/Year)	3. Issuer Name and Ticker or Trading Symbol Sonoma Pharmaceuticals, Inc. [SNOA]					
(Last) (First) (Middle)			4. Relationship of Reporting Person(s) (Check all applicable) Director X Officer (give title below) Interim CFO	to Issuer		5. If Amendment, Date of Original Filed (Month/Day/Year)		
C/O SONOMA PHARMACEUTICALS, INC. 645 MOLLY LANE, SUITE 150				Other (speci below)	fy App	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person		
(Street) WOODSTOCK GA 30189			interim CFO			Form filed by Person	y More than One Reporting	
(City) (State) (Zip)								
Table I - Non-Derivative Securities Beneficially Owned								
1. Title of Security (Instr. 4)			2. Amount of Securities 3. Ownership Beneficially Owned (Instr. 4) Form: Direct (D) Indirect (I) (Instr.					
Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)								
1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities U Derivative Security (Instr. 4)	Inderlying	4. Conversion or Exercise	se (D) or Indirect (I)	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
	Date Exercisable	Expiration Date	Title	Amount or Securit Number of Shares				
Stock Option (right to buy)	(1)	10/03/2032	Common Stock	5,000	2.21	D		

Explanation of Responses:

1. The Issuer granted the options as an initial grant upon Mr. White's appointment as interim Chief Financial Officer of the Issuer. The options vest in three equal tranches annually on the grant date anniversary, beginning on October 3, 2023 and becoming fully vested on October 3, 2025, or upon change of control of the Issuer.

<u>/s/ Chad N. White</u> ** Signature of Reporting Person

<u>10/12/2022</u> 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 5 (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.