

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL	
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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 * <u>DVONCH JEROME J</u> (Last) (First) (Middle) <u>C/O SONOMA PHARMACEUTICALS, INC.</u> <u>5445 CONESTOGA COURT, SUITE 150</u> (Street) <u>BOULDER CO 80301</u> (City) (State) (Zip)	2. Date of Event Requiring Statement (Month/Day/Year) <u>04/07/2023</u>	3. Issuer Name and Ticker or Trading Symbol <u>Sonoma Pharmaceuticals, Inc. [SNOA]</u>	
		4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director _____ 10% Owner _____ <input checked="" type="checkbox"/> Officer (give title below) _____ Other (specify below) _____ <p style="text-align: center;"><u>Interim CFO</u></p>	5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
<u>Common Stock</u>	<u>31,009⁽¹⁾</u>	<u>D</u>	

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 Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
<u>Stock option (right to buy)</u>	<u>(2)</u>	<u>01/07/2021</u>	<u>Common Stock</u>	<u>27,777</u>	<u>8.03</u>	<u>D</u>	
<u>Stock option (right to buy)</u>	<u>(3)</u>	<u>01/14/2022</u>	<u>Common Stock</u>	<u>30,000</u>	<u>4.6</u>	<u>D</u>	

Explanation of Responses:

- The Issuer granted the shares of common stock as an initial grant due to Mr. Dvonch's appointment as interim Chief Financial Officer of the Issuer. The shares vest in two equal tranches on July 15, 2023 and August 15, 2023, subject to Mr. Dvonch's continuous service.
- The options vest one third each on 01/07/2022, 01/07/2023 and 01/07/2024, or upon a change of control.
- The options vest 10,000 options each on 07/14/2022, 07/14/2023, 07/14/2024, or upon a change of control.

/s/ Jerome Dvonch

04/13/2023

** 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 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.