# FORM 4

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

| OMB APPRO           | JVAL      |
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| OMB Number:         | 3235-0287 |
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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).

#### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

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

| Name and Address of Reporting Person*  DVONCH JEROME J                                    |   |   | 2. Issuer Name and Ticker or Trading Symbol Sonoma Pharmaceuticals, Inc. [SNOA] |   |                                |   |  |   | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner                               |  |  |   |   |   |   |
|---|---|---|---|---|--------------------------------|---|--|---|--|--|--|---|---|---|---|
| (Last) (First) (Middle)<br>C/O SONOMA PHARMACEUTICALS,<br>INC., 645 MOLLY LANE, SUITE 150 |   |   |   | 3. Date of Earliest Transaction (Month/Day/Year) 01/14/2022 |                                |   |  |   |  | X Officer (give title below) Other (specify below)  Chief Financial Officer                |  |   |   |   |   |
| (Street)  |   |   |   | 4. If Amendment, Date Original Filed(Month/Day/Year)        |                                |   |  |   |  | _X_  | 6. Individual or Joint/Group Filing(Check Applicable Line)  X_Form filed by One Reporting Person  Form filed by More than One Reporting Person |   |   |   |   |
| WOODSTOCK, GA 30189 (City) (State) (Zip)  |   |   |   | Table I - Non-Derivative Securities Acqu                    |                                |   |  |   |  | es Acquired  | ured, Disposed of, or Beneficially Owned   |   |   |   |   |
| 1.Title of Security (Instr. 3)  2. Transaction Date (Month/Day/Year                       |   | 2A. Deemed<br>Execution Date,<br>any<br>(Month/Day/Ye |   | ate, if 3   | . Transi<br>l'ode<br>(nstr. 8) | saction 4.  | Securities Acq<br>A) or Disposed onstr. 3, 4 and 5)  | uired 5. A  | Amount of S  | Securities Being Reported  | neficially 6   | 5. 7. Ownership of Form: Be Direct (D) Ov | Nature<br>Indirect<br>eneficial<br>wnership<br>nstr. 4)                               |   |   |
|   |   |   |   |   |                                |   | Code   | V A   | mount (A) or (D)   | Price  |  |   |   | nstr. 4)  |   |
| Reminder:   | Report on a   | separate line for each                                | n class of securities l   | beneficia   | lly ov                         | vned dire   | ectly or   | Person<br>in this f                               | s who respon   | equired to   | respond  | unless the                                |   | ed SEC 14'  | 74 (9-02)                                       |
| 1. Title of<br>Derivative<br>Security   | 2.<br>Conversion<br>or Exercise                           | 3. Transaction  | Table II -  3A. Deemed Execution Date, if                                       | Derivati<br>(e.g., pu<br>4.<br>Transac<br>Code              | ive Sets, ca                   | ecurities<br>Ils, warr<br>5. Numb<br>of Deriva<br>Securitie   | Acquirants, of the active East (1)   | Persons in this f display ired, Disposoptions, co | s who respon<br>orm are not rest a currently we<br>sed of, or Beneavertible securicisable and                            | equired to<br>valid OME<br>eficially Ov<br>ities)  7. Title an<br>of Underly<br>Securities | o respond<br>B control r<br>wned<br>d Amount<br>ying   | 8. Price of Derivative Security           | 9. Number of Derivative Securities  | f 10.<br>Ownership<br>Form of   | 11. Natur<br>of Indirec<br>Beneficia            |
| Title of     Derivative   | 2.<br>Conversion  | 3. Transaction  | Table II -  3A. Deemed Execution Date, if                                       | Derivati<br>(e.g., pu<br>4.<br>Transac<br>Code              | ive Setts, cal                 | ecurities<br>Ils, warr<br>5. Numb<br>of Deriva  | Acquirants, of the set | Person in this f display display                  | s who respon<br>orm are not rest a currently we<br>sed of, or Beneavertible securicisable and                            | equired to<br>valid OME<br>eficially Ov<br>ities)  7. Title an<br>of Underly               | o respond<br>3 control r<br>wned<br>d Amount<br>ying<br>and 4)   | 8. Price of Derivative                    | 9. Number of Derivative Securities Beneficially Owned Following Reported Transaction( | f 10.<br>Ownership<br>Form of<br>Derivative<br>Security:<br>Direct (D)<br>or Indirect<br>s) (I) | 11. Natur                                       |
| 1. Title of<br>Derivative<br>Security   | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative | 3. Transaction  | Table II -  3A. Deemed Execution Date, if                                       | Derivati<br>(e.g., pu<br>4.<br>Transac<br>Code              | ive Setts, cal                 | ecurities<br>Ils, warr<br>5. Numb<br>of Deriv.<br>Securitie<br>Acquirec<br>or Dispo<br>of (D)<br>(Instr. 3, | Acquirants, or er 6 attive E s (1 (A) sed 4,   | Person in this f display display                  | s who respon<br>orm are not rest a currently was a currently was sed of, or Beneavertible securicisable and Date //Year) | equired to<br>valid OME<br>eficially Ov<br>ities)  7. Title an<br>of Underly<br>Securities | o respond<br>B control r<br>wned<br>d Amount<br>ying   | 8. Price of Derivative Security           | 9. Number of Derivative Securities Beneficially Owned Following Reported              | f 10.<br>Ownership<br>Form of<br>Derivative<br>Security:<br>Direct (D)<br>or Indirect           | 11. Natur<br>of Indirec<br>Beneficia<br>Ownersh |

### **Reporting Owners**

|   | Relationships |              |                         |       |  |  |
|---|---------------|--------------|-------------------------|-------|--|--|
| Reporting Owner Name / Address  | Director      | 10%<br>Owner | Officer                 | Other |  |  |
| DVONCH JEROME J<br>C/O SONOMA PHARMACEUTICALS, INC.<br>645 MOLLY LANE, SUITE 150<br>WOODSTOCK, GA 30189 |               |              | Chief Financial Officer |       |  |  |

## **Signatures**

| /s/ Amy Trombly (Attorney in fact) | 01/14/2022 |
|------------------------------------|------------|
| **Signature of Reporting Person    | Date       |

# **Explanation of Responses:**

- \* 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).
- $\textbf{(1)} \ \ \text{The options vest 10,000 options each on 07/14/2022, 07/14/2023, 07/14/2024 and or upon a change of control.}$

(2) The options were awarded and granted to Mr. Dvonch for services performed.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.