SEC Form 4

FORM 4

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

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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 Address of Reporting Person [*] SIEBEL THOMAS M			2. Issuer Name and Ticker or Trading Symbol C3.ai, Inc. [AI]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) V Director V 10% Owner						
(Last) C/O C3.AI, IN	(First) C.	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 08/05/2024	Officer (give title Other (specify below) below) CHIEF EXECUTIVE OFFICER						
1400 SEAPORT BLVD			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)						
(Street)		94603		Form filed by One Reporting Person						
REDWOOD	СА			Form filed by More than One Reporting Person						
			Rule 10b5-1(c) Transaction Indication							
(City)	(State)	(Zip)	Check this box to indicate that a transaction was made pursuant t satisfy the affirmative defense conditions of Rule 10b5-1(c). See I							

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 Disposed Of 5)	Acquired (D) (Instr	(A) or 3, 4 and	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	08/05/2024		A		41,841(1)	A	\$ <mark>0</mark>	1,798,231	D	
Class A Common Stock	08/05/2024		F		21,206	D	\$23.9	1,777,025	D	
Class A Common Stock	08/06/2024		G		20,635	D	\$ <mark>0</mark>	1,756,390	D	
Class A Common Stock	08/06/2024		G		20,635	A	\$ <u>0</u>	4,379,954	Ι	See Footnote ⁽²⁾
Class A Common Stock								9,216	Ι	See Footnote ⁽³⁾
Class A Common Stock								170,924	Ι	See Footnote ⁽⁴⁾
Class A Common Stock								72,695	Ι	See Footnote ⁽⁵⁾
Class A Common Stock								1,237,115	Ι	See Footnote ⁽⁶

 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		6. Date Exercisable and Expiration Date (Month/Day/Year)		d 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)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. Represents the grant of Restricted Stock Units (RSUs). Each RSU represents a contingent right to receive one share of the Issuer's Class A Common Stock upon settlement. The RSUs are fully vested.

2. The shares are held by The Siebel Living Trust u/a/d 7/27/93, as amended, of which the Reporting Person is trustee.

3. The shares are held by First Virtual Holdings, LLC, of which the Reporting Person is Chairman.

4. The shares are held by Siebel Asset Management, L.P., of which the Reporting Person is the general partner.

5. The shares are held by Siebel Asset Management III, L.P., of which the Reporting Person is the general partner.

6. The shares are held by The Siebel 2011 Irrevocable Children's Trust, of which the Reporting Person is co-trustee.

/s/ Eric Jensen, Attorney-in-

Fact

08/07/2024

** 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.