## SEC Form 4

## FORM 4

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

OMB APPROVAL

| OMB Number:              | 3235-0287 |  |  |  |  |  |  |  |
|--------------------------|-----------|--|--|--|--|--|--|--|
| Estimated average burden |           |  |  |  |  |  |  |  |
| hours per response       | : 0.5     |  |  |  |  |  |  |  |

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

## IENT 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 <sup>*</sup><br><u>NORRINGTON LORRIE M</u> |                  |                  | 2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>Asana, Inc.</u> [ ASAN ]  |                        | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br>X Director 10% Owner |                       |  |  |  |  |
|--|------------------|------------------|---|------------------------|--|-----------------------|--|--|--|--|
| (Last)   | (First) (Middle) |                  | 3. Date of Earliest Transaction (Month/Day/Year)<br>11/01/2023  |                        | Officer (give title below)   | Other (specify below) |  |  |  |  |
| C/O ASANA, INC.<br>633 FOLSOM STREET, SUITE 100                                    |                  | ITE 100          | 4. If Amendment, Date of Original Filed (Month/Day/Year)  | 6. Indiv<br>Line)<br>X |  |                       |  |  |  |  |
| (Street)<br>SAN  |                  |                  |   |                        | Form filed by More th<br>Person  | an One Reporting      |  |  |  |  |
| FRANCISCO  | O CA             | 94107            | Rule 10b5-1(c) Transaction Indication   |                        |  |                       |  |  |  |  |
| (City)   | (State)          | (Zip)            | Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is interest satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10. |                        |  |                       |  |  |  |  |
|  |                  | Table I - Non-De | rivative Securities Acquired, Disposed of, or Bene  | ficially               | Owned  |                       |  |  |  |  |

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code (Instr.<br>8) |   |        |               |        | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------|--|---|---|---|--------|---------------|--------|---|---|---|
|                                 |  |   | Code                                    | v | Amount | (A) or<br>(D) | Price  | Transaction(s)<br>(Instr. 3 and 4)  |   | (11150.4)   |
| Class A Common Stock            | 11/01/2023                                 |   | A                                       |   | 796(1) | A             | \$0.00 | 105,403   | D   |   |
| Class A Common Stock            |  |   |   |   |        |               |        | 2,295   | Ι   | See<br>footnote <sup>(2)</sup>                                    |

## Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | of<br>Deriv | r<br>osed<br>)<br>r. 3, 4 | Expiration Date<br>(Month/Day/Year)<br>ed<br>sed<br>3, 4 |                    | Amount of<br>Securities |  | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---|---|--|---|------------------------------|---|-------------|---------------------------|--|--------------------|-------------------------|--|---|--|--|--|
|   |   |  |   | Code                         | v | (A)         | (D)                       | Date<br>Exercisable                                      | Expiration<br>Date | Title                   | Amount<br>or<br>Number<br>of<br>Shares |   |  |  |  |

Explanation of Responses:

1. These shares represent the Class A Common Stock that the Reporting Person elected to receive in lieu of cash compensation under the Issuer's Non-Employee Director Compensation Policy for the quarter ended October 31, 2023. The number of shares of Class A Common Stock received in lieu of cash was calculated based on the closing price of a share of Class A Common Stock on October 31, 2023. Pursuant to the Issuer's Directors' Deferred Compensation Plan, the Reporting Person elected to defer the receipt of such shares to a future date in accordance with the terms of such plan and the Reporting Person's plan election.

2. The shares are held of record by Norrington Advisory Services, LLC.

**Remarks:** 

/s/ Katie Colendich, Attorney-11/03/2023

in-Fact

\*\* 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.