

# ROKU, INC Reported by WOOD ANTHONY J.

### FORM 4

(Statement of Changes in Beneficial Ownership)

## Filed 07/02/24 for the Period Ending 07/01/24

Address 1173 COLEMAN AVENUE

**SAN JOSE, CA, 95110** 

Telephone (408) 556-9040

CIK 0001428439

Symbol ROKU

SIC Code 4841 - Cable and Other Pay Television Services

Industry Entertainment Production

Sector Consumer Cyclicals

Fiscal Year 12/31

## FORM 4

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

☐ Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.

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

# 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

1. Name and Address of Reporting Person *				2. I	2. Issuer Name and Ticker or Trading Symbol								5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
 Wood Antho	ny J.			RC	OKU	U <b>, INC</b>	RO	KU	]			Ì.		Í				
(Last) (First) (Middle)				3. Г	3. Date of Earliest Transaction (MM/DD/YYYY)								X DirectorX 10% OwnerX Officer (give title below) Other (specify below)					
C/O ROKU, INC., 1173 COLEMAN AVE.					7/1/2024								EO and Ch	airman B	SOD			
	(Stre	et)		4. I	f An	nendmen	nt, Date	Origi	nal Fil	led (MM/I	DD/YYYY	6.	Individual o	or Joint/G	roup Filing	(Check Appl	icable Line)	
SAN JOSE, CA 95110 (City) (State) (Zip)													X Form filed by One Reporting Person Form filed by More than One Reporting Person					
(0	ity) (Sia			on-Der	ivati	ive Secu	rities A	cquii	ed, D	isposed	of, or B	enefic	ially Owne	d				
1. Title of Security (Instr. 3) 2. Trans. D				Execu		3. Trans. C (Instr. 8)	Code	4. Sec or Dis (Instr.		5. Amount of Securiti Following Reported 7 (Instr. 3 and 4)		ies Beneficially Owned Transaction(s)		Ownership Form: Owner Direct (D) Owner	7. Nature of Indirect Beneficial Ownership (Instr. 4)			
							Code	v	Amo	unt (A) (D)						(I) (Instr. 4)	(mour r)	
	Tab	le II - Deri	vative Sec	urities l	Bene	eficially	Owned	(e.g.	, puts,	, calls, w	arrants	, opti	ons, conver	tible secu	ırities)			
1. Title of Derivate Security (Instr. 3)	2. Conversion or Exercise Price of Derivative	3. Trans. Date	3A. Deemed Execution Date, if any	4. Trans. Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			6. Date Exercisable and Expiration Date		7. Title and Amo Securities Under Derivative Secur (Instr. 3 and 4)		rlying Derivative		9. Number of derivative Securities Beneficially Owned Following	Ownership Form of Derivative	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
	Security			Code	v	(A)	(D)	Date Exe	e rcisable	Expiration Date	Title		Amount or Number of Shares		Reported Transaction(s) (Instr. 4)	or Indirect		
Employee Stock Option (right to buy)	\$62.47	7/1/2024		A		72	21	7/1	/2024	6/30/2034	Clas Com Sto	mon	721	<b>\$0</b> (1)	721	D		
Employee Stock Option (right to buy)	\$62.47	7/1/2024		A		6,72	23	7/1	/2024	6/30/2034	Clas Com Stockon	mon	6,723	<b>\$0</b> (2)	6,723	D		

#### **Explanation of Responses:**

- (1) This stock option was awarded to the reporting person by the Compensation Committee of the Issuer's Board of Directors pursuant to the Issuer's Executive Supplemental Stock Option Program in exchange for a reduction in the monthly base salary of the reporting person of approximately \$25,000.00.
- (2) This stock option was awarded to the reporting person by the Compensation Committee of the Issuer's Board of Directors in exchange for a reduction in the monthly base salary of the reporting person of \$233,333.34.

#### **Reporting Owners**

Reporting Owner Name / Address	Relationships							
Reporting Owner Ivalie / Address	Director	10% Owner	Officer	Other				
Wood Anthony J. C/O ROKU, INC. 1173 COLEMAN AVE. SAN JOSE, CA 95110	X	X	CEO and Chairman BOD					

/s/ Christy Lillquist, attorney-in-fact 7/2/2024

\*\*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 control number.