

[] 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

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## 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 *				Issuer Name and Ticker or Trading Symbol							5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
SOON-SHI	ONG PA	ATRICK			N٤	ıntHealth	, In	c. [ NH	]			,			
(Last) (First) (Middle)				3. Date of Earliest Transaction (MM/DD/YYYY)							X_ DirectorX_ 10% OwnerX_ Officer (give title below) Other (specify below)				
C/O NANTWORKS, LLC, 9922 JEFFERSON BLVD.					4/27/2021						Chairma	n and CEO			
				4. If Amendment, Date Original Filed (MM/DD/YYYY)						YY) 6. Individ	6. Individual or Joint/Group Filing (Check Applicable Line)				
CULVER CITY, CA 90232 (City) (State) (Zip)												Form filed by One Reporting Person X Form filed by More than One Reporting Person			
			Table I	- Non-	Der	ivative Secu	ıritie	es Acquir	ed, Dispo	sed of, or	Beneficially (	Owned			_
1.Title of Security (Instr. 3)					2A. Deemed Execution Date, if any	(Instr.	ans. Code . 8)	or Disposed (Instr. 3, 4 a	of (D)	Following Rep (Instr. 3 and 4)	. Amount of Securities Beneficially Owned ollowing Reported Transaction(s) Instr. 3 and 4)			7. Nature of Indirect Beneficial Ownership t (Instr. 4)	
	T	able II - D	erivative	Securit	ies	Beneficially	Ow	ned ( <i>e.g.</i> ,	puts, call	ls, warran	ts, options, co	onvertible se	ecurities)		
Derivate Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	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 Securities U Derivative S (Instr. 3 and	nderlying ecurity	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following	Form of Derivative Security: Direct (D)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Reported Transaction(s) (Instr. 4)	or Indirect (I) (Instr. 4)	
4.50% Convertible Senior Notes due 2026	<u>(1)</u>	4/27/2021		P		62500000		<u>(2)</u>	4/27/2026	Common Stock	16242206 (1)	\$62500000.00	\$62500000.00		See Footnote (3)

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

- (1) The initial conversion rate of the 4.50% Convertible Senior Notes due 2026 (the "Notes") is 259.8753 shares of common stock per \$1,000 principal amount of Notes (which is equivalent to an initial conversion price of approximately \$3.85 per share), subject to adjustment pursuant to the terms of the Notes.
- (2) The Notes will be convertible at the option of the reporting persons at any time prior to the close of business on the business day immediately preceding the maturity date of the Notes. The Notes will be convertible into cash, shares of the issuer's common stock, or a combination thereof, at the issuer's election
- (3) The Notes are held by Nant Capital LLC ("Nant Capital"). California Capital Equity, LLC ("CalCap") directly owns all of the equity interests of Nant Capital, LLC and CalCap may be deemed to have beneficial ownership of the shares held by Nant Capital. Patrick Soon-Shiong directly owns all of the equity interests of CalCap and has voting and dispositive power over the shares held by CalCap.

### **Reporting Owners**

Reporting Owner Name / Address	Relationships						
Reporting Owner Name / Address	Director	10% Owner	Officer	Other			
SOON-SHIONG PATRICK							
C/O NANTWORKS, LLC	X	X	Chairman and CEO				
9922 JEFFERSON BLVD.		A	Chan man and CEO				
CULVER CITY, CA 90232							
CALIFORNIA CAPITAL EQUITY, LLC							
C/O NANTHEALTH, INC.		X					
9920 JEFFERSON BLVD.		Λ					
CULVER CITY 90230							
Nant Capital, LLC							
9922 JEFFERSON BLVD.		X					
CULVER CITY, CA 90232							

#### **Signatures**

/s/ Charles Kenworthy, President of Nant Capital /s/ Patrick Soon-Shiong, on behalf of CalCap as CEO of CalCap and himself

4/28/2021

\*\*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.

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