SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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

Instruction 1(b).	Filed pursuant to Section 16(a) of the	Securities Exchange Act of 1934	
.,	or Section 30(h) of the Investr		
1. Name and Address of Reporting Person*	2. Issuer Name and Ticker or Root , Inc. [ROOT]	Trading Symbol 5. Relationsl (Check all a	hip of Reporting Person(s) to Issuer pplicable)
<u>Kundu Anirban</u>	[]	Dire	rector 10% Owner
			ficer (give title Other (specify low) below)
(Last) (First) (Mido		n (Month/Day/Year)	, , ,
C/O ROOT, INC.	07/01/2021		Chief Technology Officer
80 E RICH STREET, SUITE 500			
	4. If Amendment, Date of Orig		l or Joint/Group Filing (Check Applicable
(Street)		Line)	
COLUMBUS OH 4321		X For	rm filed by One Reporting Person
	,		rm filed by More than One Reporting rson
(City) (State) (Zip)			

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)	Transaction Code (Instr.		4. Securities Ac Disposed Of (D)				6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		
Class A Common Stock	07/01/2021		A		1,547,942(1)	Α	\$0.00	1,547,942	D	
Class A Common Stock	07/01/2021		A		773 , 971 ⁽¹⁾	Α	\$0.00	2,321,913	D	

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 Deriv Secu Acqu (A) of Dispo of (D)	erivative ecurities cquired A) or isposed f (D) nstr. 3, 4		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)	Ownership	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"). One-quarter of the shares subject to the RSUs vest on the first anniversary of the grant date and the remainder vest quarterly thereafter.

/s/ Jodi Baker, Attorney-in-

<u>fact</u>

07/01/2021

** Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

 \ast 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.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See