

OMB APPROVAL	
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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

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* <u>SOUTHWELL DAVID P</u> <hr/> (Last) (First) (Middle) <u>C/O ROCKET PHARMACEUTICALS, INC.</u> <u>9 CEDARBROOK DRIVE</u> <hr/> (Street) <u>CRANBURY NJ 08512</u> <hr/> (City) (State) (Zip)			2. Issuer Name and Ticker or Trading Symbol <u>ROCKET PHARMACEUTICALS, INC. [RCKT]</u>			5. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director 10% Owner Officer (give title below) Other (specify below)		
			3. Date of Earliest Transaction (Month/Day/Year) <u>04/12/2024</u>			6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person Form filed by More than One Reporting Person		
			4. If Amendment, Date of Original Filed (Month/Day/Year)			Rule 10b5-1(c) Transaction Indication <input type="checkbox"/> 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.		

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 Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	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			
Common Stock ⁽¹⁾	04/12/2024		M		70,000	A	\$4.342	165,160	D	
Common Stock ⁽⁴⁾	04/12/2024		S		59,716	D	\$24.224 ⁽²⁾	105,444	D	
Common Stock ⁽⁴⁾	04/12/2024		S		10,284	D	\$25.156 ⁽³⁾	95,160	D	
Common Stock ⁽¹⁾	04/15/2024		M		29,624	A	\$4.342	124,784	D	
Common Stock ⁽⁴⁾	04/15/2024		S		10,000	D	\$24.052 ⁽⁵⁾	114,784	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. Transaction 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 (Month/Day/Year)		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
Stock Option (Right to Buy)	\$4.342	04/12/2024		M		70,000	(6)	08/28/2024	Common Stock	70,000	\$4.342	29,624	D	
Stock Option (Right to Buy)	\$4.342	04/15/2024		M		29,624	(6)	08/28/2024	Common Stock	29,624	\$4.342	0	D	

Explanation of Responses:

- Represents shares received upon exercise of Stock Options, which would otherwise expire in August 2024.
- Represents a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$23.87 to \$24.68. The Reporting Person has provided the issuer and will provide any security holder of the issuer or the SEC staff, upon request, information regarding the number of shares sold at each price within the range.
- Represents a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$25.155 to \$25.17. The Reporting Person has provided the issuer and will provide any security holder of the issuer or the SEC staff, upon request, information regarding the number of shares sold at each price within the range.
- Shares were sold by the Reporting Person in order to cover certain tax obligations.
- Represents a weighted average sale price. These shares were sold in multiple transactions at prices ranging from \$23.85 to \$24.335. The Reporting Person has provided the issuer and will provide any security holder of the issuer or the SEC staff, upon request, information regarding the number of shares sold at each price within the range.
- This option represents a right to purchase a total of 99,624 shares of the Issuer's Common Stock, which became fully vested and exercisable on January 4, 2018.

/s/ Martin Wilson, as attorney-in-fact for David Southwell 04/16/2024

** 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.