| SEC Form 4 | |
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FORM 4

| JNITED STATES SECU | RI | ГIЕ | S | AND |) E) | ксн/ | ANGE | COM | MISS | 101 | ٧ |
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| | | | | | ~ ~ ~ · | | | | | | |

Washington, D.C. 20549

3. Date of Earliest Transaction (Month/Day/Year)

07/08/2024

OMB APPROVAL

Other (specify

below)

I

Officer (give title

See Remarks

6. Individual or Joint/Group Filing (Check Applicable

Form filed by One Reporting Person

Form filed by More than One Reporting

below)

Person

1

Line) 1

| | | | | 0 | |
|--|----------|--|--|---------------------|----------------------|
| Check this box if no longer subject to Section 16. Form 4 or Form 5 | STATEMEN | T OF CHANGES IN BENEFICIAL OWN | OMB Number: Estimated average b | 3235-0287 ourden | |
| obligations may continue. See Instruction 1(b). | Filed | oursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 | l | hours per response: | 0.5 |
| lame and Address of Reporting Person [*] / <u>hite Mark Andrew</u> | | 2. Issuer Name and Ticker or Trading Symbol <u>ROCKET PHARMACEUTICALS, INC.</u> [<u>RCKT</u>] | 5. Relationship of R (Check all applicabl Director | le) 10% | to Issuer 6 Owner |

(First) (Middle) (Last) C/O ROCKET PHARMACEUTICALS, INC. 9 CEDARBROOK DRIVE

I

| CRANBURY | NJ | 08512 |
|----------|---------|-------|
| (Citv) | (State) | (Zip) |

Pule 10b5 1(c) Transaction Indication

4. If Amendment, Date of Original Filed (Month/Day/Year)

| Check this box to indicate that a transaction was satisfy the affirmative defense conditions of Rule | made pursuant to a contract, instruction or written plan that is intended to 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. Transa Code (8) | | | | | 5. Amount of Securities Beneficially Owned Following Reported | 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) | | (1130.4) |
| Common Stock ⁽¹⁾ | 07/08/2024 | | S | | 3,026 | D | \$20.395 | 72,220 | 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 | | 6. Date Exerc Expiration Da (Month/Day/h | 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 Form: Direct (D) | 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. Holdings include Restricted Stock Units ("RSUs") that convert to common stock on a one-for-one basis. RSUs vest one-third (1/3) upon the first anniversary of the grant date, with the remaining shares vesting in equal quarterly installments over the following two years

Remarks:

General Manager, Commercial Affairs

/s/ Martin Wilson, as attorneyin-fact for Mark Andrew

White



** 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.

(Street)