# SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

# **SCHEDULE 13G**

**Under the Securities and Exchange Act of 1934** 

# Transphorm, Inc

**Common Stock** (Title of Class of Securities)

> 89386L100 (CUSIP Number)

**December 31, 2020** (Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this Schedule is filed:

This Schedule is filed pursuant to Rule 13d-1(b)

The information required in the remainder of this cover page (except any items to which the form provides a cross-reference) shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act.

# CUSIP NO. <u>89386L100</u>

1)	Name of Reporting Person S.S. or I.R.S. Identification No. of Above Person						
	Ameriprise Financial, Inc.						
	IRS No. 13-3180631						
2)							
	(a) □ (b) ⊠*						
* This filing describes the reporting person's relationship with other persons, but the reporting person does not affirm the exist							
3)							
4)	Citizenship or Place of Organization						
	Delaware						
		5)	Sole Voting Power				
NU	MBER OF		0				
_	HARES	6)	Shared Voting Power				
	EFICIALLY		3,129,000				
	VNED BY EACH	7)	Sole Dispositive Power				
	REPORTING		Sole Dispositive Power				
P	ERSON		0				
	WITH		Shared Dispositive Power				
			3.140,400				
9)			-) -)				
3)	1100100000	111100	and Dentermany of Michael of Duch Reporting version				
	3,140,400						
10)	Check if the Aggregate Amount in Row (9) Excludes Certain Shares						
	Not Applicable						
11)	Percent of Class Represented by Amount In Row (9)						
,	1 ercent of Glass Represented by Athlount III Row (3)						
	7.75%						
12)	Type of Reporting Person						
	HC						
	110						

#### CUSIP NO. 89386L100

1)	Name of Reporting Person S.S. or I.R.S. Identification No. of Above Person						
	Columbia Management Investment Advisers, LLC IRS No. 41-1533211						
2)							
	* This filing describes the reporting person's relationship with other persons, but the reporting person does not affirm the existence of a group.						
3)	SEC Use Only						
4)	Citizenship or Place of Organization						
	Minnesota						
		5)	Sole Voting Power				
NU	MBER OF		0				
5	SHARES	6)	Shared Voting Power				
	EFICIALLY VNED BY		3,129,000				
EACH REPORTING PERSON WITH		7)	Sole Dispositive Power				
			0				
		8)	Shared Dispositive Power				
			3,140,400				
9)	Aggregate Amount Beneficially Owned by Each Reporting Person						
	3,140,400						
10)							
	Not Applicable						
11)	Percent of Class Represented by Amount In Row (9)						
	7.75%						
12)	Type of Re	portin	g Person				
	IA						

## CUSIP NO. <u>89386L100</u>

1)	Name of Reporting Person S.S. or I.R.S. Identification No. of Above Person					
	Columbia Seligman Communications and Information Fund					
	IRS No. 13					
2)	Check the Appropriate Box if a Member of a Group  (a) □ (b) ⊠*					
	* This filing describes the reporting person's relationship with other persons, but the reporting person does not affirm the existence of a group.					
3)	SEC Use Only					
4)	Citizenship	Citizenship or Place of Organization				
	Massachusetts					
		5)	Sole Voting Power			
NUMBER OF			3,000,000			
	SHARES	6)	Shared Voting Power			
	EFICIALLY VNED BY		0			
EACH REPORTING		7)	Sole Dispositive Power			
PERSON			0			
	WITH	8)	Shared Dispositive Power			
			3,000,000			
9)	Aggregate A	Amou	nt Beneficially Owned by Each Reporting Person			
	3,000,000					
10)	Check if the Aggregate Amount in Row (9) Excludes Certain Shares					
	Not Applicable					
11)	Percent of Class Represented by Amount In Row (9)					
	7.40%					
12)	Type of Reporting Person					
	IV					

1(a) Name of Issuer: Transphorm, Inc Address of Issuer's Principal Executive Offices: 75 Castilian Drive Goleta, California 93117 Name of Person Filing: (a) Ameriprise Financial, Inc. ("AFI") 2(a) (b) Columbia Management Investment Advisers, LLC ("CMIA") (c) Columbia Seligman Communications and Information Fund("Fund") 2(b) Address of Principal Business Office: (a) Ameriprise Financial, Inc. 145 Ameriprise Financial Center Minneapolis, MN 55474 (b) 225 Franklin St. Boston, MA 02110 (c) 225 Franklin St. Boston, MA 02110 Citizenship: (a) Delaware (b) Minnesota (c) Massachusetts

2(d) Title of Class of Securities:

Common Stock 89386L100

2(e) Cusip Number:

3 Information if statement is filed pursuant to Rules 13d-1(b) or 13d-2(b):

(a) Ameriprise Financial, Inc.

A parent holding company in accordance with Rule 13d-1(b)(1)(ii)(G). (Note: See Item 7)

(b) Columbia Management Investment Advisers, LLC

An investment adviser in accordance with Rule 13d-1(b)(1)(ii)(E).

(c) Columbia Seligman Communications and Information Fund

An investment company in accordance with Rule 13d-1(b)(1)(ii)(D).

4 Incorporated by reference to Items (5)-(9) and (11) of the cover page pertaining to each reporting person.

CMIA and AFI do not directly own any shares of Common Stock of the issuer. As the investment adviser to the Fund and various other unregistered and registered investment companies and other managed accounts, CMIA may be deemed to beneficially own the shares reported herein by the Fund. Accordingly, the shares reported herein by CMIA include those shares separately reported herein by the Fund.

As the parent holding company of CMIA, AFI may be deemed to beneficially own the shares reported herein by CMIA. Accordingly, the shares reported herein by AFI include those shares separately reported herein by CMIA.

Each of AFI and CMIA, and the subsidiaries identified on the attached Exhibit I, disclaims beneficial ownership of any shares reported on this Schedule.

All information provided herein is as of May 31, 2021.

- 5 Ownership of 5% or Less of a Class: Not Applicable
- 6 Ownership of more than 5% on Behalf of Another Person:

To the knowledge of AFI, CMIA and the Fund, no other persons besides AFI, CMIA and the Fund and those persons for whose shares of common stock CMIA and AFI report beneficial ownership have the right to receive or the power to direct the receipt of dividends from or the proceeds from the sale of the securities of the issuer reported herein. As of May 31, 2021, only the Fund owned more than 5% of the class of securities reported herein.

Any remaining shares reported herein by CMIA are held by various other funds or accounts managed by CMIA which each have the right to receive any dividends paid by the issuer and could terminate their respective investment advisory relationship with CMIA and then subsequently direct the use of proceeds from the sale of the common stock owned by such fund or account. To CMIA's knowledge, none of these other funds or accounts own more than 5% of the outstanding shares of the issuer as May 31, 2021.

7 Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on by the Parent Holding Company:

AFI: See Exhibit I

8 Identification and Classification of Members of the Group:

Not Applicable

9 Notice of Dissolution of Group:

Not Applicable

10 Certification:

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were acquired in the ordinary course of business and were not acquired for the purpose of and do not have the effect of changing or influencing the control of the issuer of such securities and were not acquired in connection with or as a participant in any transaction having such purposes or effect.

#### Signature

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: June 30, 2021

Ameriprise Financial, Inc.

By: /s/ Paul Goucher

Name: Paul Goucher

Title: Senior Vice President and Assistant General Counsel

Columbia Management Investment Advisers, LLC

By: /s/ Paul Goucher

Name: Paul Goucher

Title: Senior Vice President and Assistant Secretary

Columbia Seligman Communications and Information Fund

By: /s/ Paul Goucher

Name: Paul Goucher

Title: Senior Vice President and Assistant Secretary

Contact Information Mark D. Braley Vice President

Head of Reporting and Data Management | Global Operations

and Investor Services Telephone: (617) 747-0663

## Exhibit Index

Exhibit I Identification and Classification of the Subsidiary which Acquired the Security Being Reported on by the Parent Holding Company.

Exhibit II <u>Joint Filing Agreement</u>

Exhibit I

to

#### Schedule 13G

Ameriprise Financial, Inc., a Delaware Corporation, is a parent holding company. The classification and identity of the relevant subsidiaries is as follows:

Investment Adviser – Columbia Management Investment Advisers, LLC is an investment adviser registered under section 203 of the Investment Advisers Act of 1940.

Exhibit II

to

# Schedule 13G

### Joint Filing Agreement

The undersigned persons agree and consent to the joint filing on their behalf of this Schedule 13G dated June 30, 2021 in connection with their beneficial ownership of Transphorm, Inc. Each of Columbia Seligman Communications and Information Fund and Columbia Management Investment Advisers, LLC authorizes Ameriprise Financial, Inc. to execute the Schedule 13G to which this Exhibit is attached and make any necessary amendments thereto.

Ameriprise Financial, Inc.

By: /s/ Paul Goucher

Name: Paul Goucher

Title: Senior Vice President and Assistant General Counsel

Columbia Management Investment Advisers, LLC

By: /s/ Paul Goucher

Name: Paul Goucher

Title: Senior Vice President and Assistant Secretary

Columbia Seligman Communications and Information Fund

By: <u>/s/ Paul Goucher</u> Name: Paul Goucher

Title: Senior Vice President and Assistant Secretary