

Form 144

FORM 144/A

NOTICE OF PROPOSED SALE OF SECURITIES  
PURSUANT TO RULE 144 UNDER THE SECURITIES ACT OF 1933

## 144/A: Filer Information

Filer CIK 0001862728  
Filer CCC XXXXXXXXX  
Previous Accession Number Of The Filing 0001970051-23-000022  
Is this a LIVE or TEST Filing?  LIVE  TEST

### Submission Contact Information

Name  
Phone  
E-Mail Address

## 144/A: Issuer Information

Name of Issuer Transphorm, Inc.  
SEC File Number 001-41295  
75 CASTILIAN DRIVE  
Address of Issuer GOLETA  
CALIFORNIA  
93117  
Phone 805-456-1300  
Name of Person for Whose Account the Securities are To Be Sold Smales Kelly

See the definition of "person" in paragraph (a) of Rule 144. Information is to be given not only as to the person for whose account the securities are to be sold but also as to all other persons included in that definition. In addition, information shall be given as to sales by all persons whose sales are required by paragraph (e) of Rule 144 to be aggregated with sales for the account of the person filing this notice.

Relationship to Issuer Director

## 144/A: Securities Information

Title of the Class of Securities To Be Sold	Name and Address of the Broker	Number of Shares or Other Units To Be Sold	Aggregate Market Value	Number of Shares or Other Units Outstanding	Approximate Date of Sale	Name the Securities Exchange
COMMON STOCK	MAXIM GROUP 300 PARK AVE, 16TH FLOOR NEW YORK NY 10010	656	1889.28	61960000	11/20/2023	NASDAQ

Furnish the following information with respect to the acquisition of the securities to be sold and with respect to the payment of all or any part of the purchase price or other consideration therefor:

## 144/A: Securities To Be Sold

Title of the	Date you	Nature of	Name of Person	Is	Date	Amount of	Date of	Nature of
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Class	Acquired	Acquisition Transaction	from Whom Acquired	this a Gift?	Donor Acquired	Securities Acquired	Payment	Payment *
Common Stock	11/20/2023	Common Stock	TRANSPHORM TECHNOLOGY, INC.	<input type="checkbox"/>		656	11/20/2023	COMPENSATORY PAYMENT

\* If the securities were purchased and full payment therefor was not made in cash at the time of purchase, explain in the table or in a note thereto the nature of the consideration given. If the consideration consisted of any note or other obligation, or if payment was made in installments describe the arrangement and state when the note or other obligation was discharged in full or the last installment paid.

Furnish the following information as to all securities of the issuer sold during the past 3 months by the person for whose account the securities are to be sold.

## 144/A: Securities Sold During The Past 3 Months

Name and Address of Seller	Title of Securities Sold	Date of Sale	Amount of Securities Sold	Gross Proceeds
KELLY SMALES 75 CASTILIAN DRIVE GOLETA CA 93117	COMMON STOCK	11/17/2023	3227	8761.55

## 144/A: Remarks and Signature

Remarks

Date of Notice

11/27/2023

Date of Plan Adoption or Giving of Instruction, If Relying on Rule 10b5-1

08/17/2023

**ATTENTION:**

The person for whose account the securities to which this notice relates are to be sold hereby represents by signing this notice that he does not know any material adverse information in regard to the current and prospective operations of the Issuer of the securities to be sold which has not been publicly disclosed. If such person has adopted a written trading plan or given trading instructions to satisfy Rule 10b5-1 under the Exchange Act, by signing the form and indicating the date that the plan was adopted or the instruction given, that person makes such representation as of the plan adoption or instruction date.

Signature

KELLY SMALES

**ATTENTION: Intentional misstatements or omission of facts constitute Federal Criminal Violations (See 18 U.S.C. 1001)**