SEC Form 4	
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## FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

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1. Name and Address of Reporting Person* EMMITT RICHARD B (Last) (First) (Middle) C/O THE VERTICAL GROUP 106 ALLEN ROAD SUITE 207			2. Issuer Name and Ticker or Trading Symbol Silk Road Medical Inc [ SILK ] 3. Date of Earliest Transaction (Month/Day/Year) 10/01/2019	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner Officer (give title X Other (specify below) Former 10% Owner			
(Street) BASKING RIDGE (City)	NJ (State)	07920 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person			

### 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)		4. Securities Acquir bisposed Of (D) (Ins (Instr.				5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
	Co		Code	v	Amount	Amount (A) or (D) Price		Transaction(s) (Instr. 3 and 4)		(Instr. 4)	
Common Stock	10/01/2019		J		810,284 <sup>(3)</sup>	D	\$0	49,212	Ι	See Footnote <sup>(1)(2)</sup>	
Common Stock	10/01/2019		J		136,341 <sup>(5)</sup>	A	\$0	3,555,794	Ι	See Footnote <sup>(1)(4)</sup>	
Common Stock	10/01/2019		J		3,358,939(6)	D	\$0	196,855	Ι	See Footnote <sup>(1)(4)</sup>	
Common Stock	10/01/2019		J		40,948 <sup>(8)</sup>	A	\$0	41,689	Ι	See Footnote <sup>(1)(7)</sup>	
Common Stock	10/01/2019		J		850,875(10)	A	\$0	850,875	Ι	See Footnote <sup>(1)(9)</sup>	
Common Stock	10/01/2019		J		2,713(12)	A	\$0	2,713	I	See Footnote <sup>(11)</sup>	
Common Stock	10/01/2019		J		44,044 <sup>(13)</sup>	A	\$ <mark>0</mark>	44,044	D		

# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(e.g., puts, calls, warrants, options, convertible securities)

	*					1				3				
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) (Instr	5. Number of Schurther Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		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)	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. The Vertical Group, L.P., a Delaware limited partnership, is the sole general partner of each of Vertical Fund I, L.P. ("VFI") and Vertical Fund II, L.P. ("VFII"), and The Vertical Group GP, LLC, a Delaware limited liability company, controls The Vertical Group, L.P. The sole members and managers of The Vertical Group GP, LLC are Messrs. Tony M. Chou, Richard B. Emmitt, Jack W. Lasersohn and John E. Runnells. Per agreement of the parties, Messrs. Chou and Lasersohn have no investment or voting power over Silk Road Medical, Inc. securities held by VFI, VFII, The Vertical Group, Inc. ("VGI") and The Vertical Group, L.P., while Messrs. Emmitt and Runnells share voting and investment power over such securities. Mr. Emmitt disclaims beneficial ownership of such shares except to the extent of his pecuniary interest therein.

2. These shares are held directly by VFII.

3. VFII distributed the shares to its partners on a pro rata basis.

4. These shares are held directly by VFI.

5. Of the shares distributed by VFII, 136,341 of such shares were distributed to VFI in accordance with its pro rata partnership interest in VFII.

6. VFI distributed the shares to its partners on a pro rata basis.

7. These share are held directly by VGI.

8. Of the shares distributed by VFII and VFI, 40,948 of such shares were distributed to VGI in accordance with its pro rata partnership interest in VFII and VFI, respectively.

9. These shares are held directly by The Vertical Group, L.P.

10. Of the shares distributed by VFII and VFI, 850,875 of such shares were distributed to The Vertical Group, L.P. in accordance with its pro rata partnership interest in VFII and VFI, respectively.

11. These shares are held directly by Mr. Emmitt's wife or by her IRA.

12. Of the shares distributed by VFI, 1,519 of such shares were distributed to Mr. Emmitt's wife or her IRA in accordance with her or its pro rata partnership interests in VFI, as applicable.

13. Of the shares distributed by VFI, 44,044 of such shares were distributed to Mr. Emmitt's IRA in accordance with its pro rata partnership interest in VFI.

<u>/s/ Richard B. Emmitt</u>

10/03/2019

Date

\*\* Signature of Reporting Person

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.