FORM 4

## **UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

|   | OMB Number:              | 3235-0287 |
|---|--------------------------|-----------|
|   | Estimated average burden |           |
| ı | hours per response:      | 0.5       |

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

### 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

| Name and Address of Reporting Person*     Russell Austin |         |          | 2. Issuer Name and Ticker or Trading Symbol <u>Luminar Technologies, Inc./DE</u> [ LAZR ]  | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable)  X Director X 10% Owner |  |  |  |  |  |  |  |
|--|---------|----------|--|---|--|--|--|--|--|--|--|
| (Last)   | (First) | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year) 05/15/2023  | X Officer (give title Other (specify below)   |  |  |  |  |  |  |  |
| C/O LUMINAR TECHNOLOGIES, INC.                           |         |          |  | Chairperson, President & CEO  |  |  |  |  |  |  |  |
| 2603 DISCOVERY DRIVE, SUITE 100                          |         |          | 4. If Amendment, Date of Original Filed (Month/Day/Year)   | 6. Individual or Joint/Group Filing (Check Applicable Line)                                     |  |  |  |  |  |  |  |
| (Street)   | FL      | 32826    |  | X Form filed by One Reporting Person Form filed by More than One Reporting Person               |  |  |  |  |  |  |  |
|  |         |          | Rule 10b5-1(c) Transaction Indication  |   |  |  |  |  |  |  |  |
| (City)   | (State) | (Zip)    | 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<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | Transaction Code (Instr. |   | 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) |                  |             |                                    | Form: Direct (D) | Beneficial<br>Ownership |
|---------------------------------|--|---|--------------------------|---|---|------------------|-------------|------------------------------------|------------------|-------------------------|
|                                 |  |   | Code                     | v | Amount  | (A) or (D) Price |             | Transaction(s)<br>(Instr. 3 and 4) |                  | (Instr. 4)              |
| Class A Common Stock            | 05/15/2023                                 |   | P                        |   | 1,325,685   | A                | \$6.0041(1) | 3,655,685                          | D                |                         |
| Class A Common Stock            | 05/16/2023                                 |   | P                        |   | 150,000   | A                | \$6.2587(2) | 3,805,685                          | D                |                         |

# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security (Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security |  | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transac<br>Code (In<br>8) |  | Derivative |  | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |  | 7. Title and Amount of<br>Securities Underlying<br>Derivative Security<br>(Instr. 3 and 4) |   | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |       |                                     |  |                              |  |  |
|--|---|--|---|---------------------------------|--|------------|--|--|--|--|---|---|--|--|--|-------|-------------------------------------|--|------------------------------|--|--|
|  |   |  |   |                                 |  |            |  |  |  | Code   | v | (A)   | (D)  | Date<br>Exercisable  | Expiration<br>Date   | Title | Amount<br>or<br>Number<br>of Shares |  | Transaction(s)<br>(Instr. 4) |  |  |

## Explanation of Responses:

- 1. The range of prices for the shares of Class A Common Stock is from \$5.81 to \$6.1788. The reporting person undertakes that he will provide, upon request by the staff of the U.S. Securities and Exchange Commission, full information regarding the number of securities purchased at each separate price.
- 2. The range of prices for the shares of Class A Common Stock is from \$6.07 to \$6.33. The reporting person undertakes that he will provide, upon request by the staff of the U.S. Securities and Exchange Commission, full information regarding the number of securities purchased at each separate price.

#### Remarks:

/s/ Thomas Fennimore, as Attorney-in-Fact for Austin

Russell

\*\* Signature of Reporting Person

Date

05/17/2023

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

- $^{\star}$  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.