## SEC Form 4

# 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

## OMB APPROVAL

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

| 1. Name and Address of Reporting Person <sup>*</sup><br>BALEN JOHN V |                                       |          | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br>Cardlytics, Inc. [ CDLX ] |   | tionship of Reporting Pe<br>all applicable)<br>Director | erson(s) to Issuer<br>10% Owner |  |
|--|---------------------------------------|----------|---|---|---|---------------------------------|--|
| (Last)<br>C/O CARDLY   | · · · · · · · · · · · · · · · · · · · | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year)<br>11/07/2022                  |   | Officer (give title below)                              | Other (specify below)           |  |
| 675 PONCE DE LEON AVENUE NE, 6000                                    |                                       |          | 4. If Amendment, Date of Original Filed (Month/Day/Year)                        | 6. Individual or Joint/Group Filing (Check Applicab Line) |   |                                 |  |
| (Street)<br>ATLANTA  | GA                                    | 30308    |   | X   | Form filed by One Re<br>Form filed by More th<br>Person | , s                             |  |
| (City)   | (State)                               | (Zip)    | _   |   |   |                                 |  |

#### 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) | 3.<br>Transaction<br>Code (Instr.<br>8) |   |        |               | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | Form: Direct                       | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership |            |
|---------------------------------|--|---|---|---|--------|---------------|---|------------------------------------|---|------------|
|                                 |  |   | Code                                    | v | Amount | (A) or<br>(D) | Price   | Transaction(s)<br>(Instr. 3 and 4) |   | (Instr. 4) |
| Common Stock                    | 11/07/2022                                 |   | Р                                       |   | 6,000  | A             | \$4.2418  | 52,798                             | D   |            |
| Common Stock                    | 11/08/2022                                 |   | Р                                       |   | 6,000  | A             | \$3.9497  | 58,798                             | D   |            |
| Common Stock                    | 11/09/2022                                 |   | Р                                       |   | 3,000  | A             | \$3.7995  | 61,798                             | D   |            |

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

(e.g., puts, calls, warrants, options, convertible securities) 1. Title of 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and 9. Number of 11. Nature 8. Price of 10. 2. Conversion Transaction Code (Instr. 8) Date Execution Date. Derivative Expiration Date Amount of Derivative derivative Ownership of Indirect of Derivative Securities Acquired Security (Instr. 3) or Exercise Price of (Month/Day/Year) if any (Month/Day/Year) (Month/Day/Year) Securities Underlying Security (Instr. 5) Securities Beneficially Form: Direct (D) Beneficial Ownership Derivative Derivative Owned or Indirect (Instr. 4) (A) or Disposed Security (Instr. 3 and 4) Security Following (I) (Instr. 4) Reported of (D) (Instr. 3, 4 Transaction(s) (Instr. 4) and 5) Amount Number Expiration Date of v Code (A) (D) Exercisable Date Title Shares

Explanation of Responses:

Remarks:

#### /s/ Jason Minio, Attorney-in-Fact <u>11/09/2022</u>

\*\* Signature of Reporting Person Date

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.