FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL		
OMB Number:	3235-0287	
Estimated average burden		
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footnote<sup>(6)</sup>

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

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

2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person (Check all applicable) Confluent, Inc. [ CFLT ] INDEX VENTURES VII (JERSEY), L.P. Director 10% Owner Officer (give title Other (specify 3. Date of Earliest Transaction (Month/Day/Year) below) below) (Middle) 06/28/2021 5TH FLOOR, 44 ESPLANADE 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) (Street) Form filed by One Reporting Person ST. HELIER **Y9** JE13FG Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of Security (Instr. 3) 2. Transaction 2A. Deemed 5. Amount of 6. Ownership 7. Nature of

### 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) Execution Date Transaction Form: Direct (D) Indirect if any (Month/Day/Year) Code (Instr. 8) (Month/Day/Year) or Indirect (I) Beneficial Ownersh (Instr. 4) hip (A) or (D) ٧ Amount

Stock

#### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 6. Date Exercisable and 9. Number of 11. Nature 1. Title of 3. Transaction 3A. Deemed 7. Title and Amount of 8. Price of 10. 5. Number of 4. Transaction Securities Underlying Derivative Security (Instr. 3 and 4) Expiration Date (Month/Day/Year) Derivative Conversion Execution Date. **Derivative Securities** Derivative derivative Ownership of Indirect Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) Securities Beneficially Owned if any (Month/Day/Year) or Exercise (Month/Day/Year) Code (Instr. Form: Beneficial Direct (D) or Indirect (Instr. 4) Following Reported (I) (Instr. 4) Amount or Number of Expiration Transaction(s) (D) Exercisable Title Code (A) **Shares** (Instr. 4) Class B 19,892,208 06/28/2021 С 19,892,208 \$0.00 Preferred footnote<sup>(3)</sup> Stock<sup>(2)</sup> Stock Class B Series C (1) 06/28/2021 C 2,690,028 (1) (1) 2,690,028 \$0.00 0 footnote<sup>(3)</sup> Stock<sup>(2)</sup> Stock Class B Class A 22,582,236 (2) 06/28/2021 C 22.582.236 22.582.236 Common footnote<sup>(3)</sup> Stock Stock Series B Class B 492,912 (1) 06/28/2021 C (1) (1) Preferred 492 912 \$0.00 0 T footnote<sup>(4)</sup> Stock<sup>(2)</sup> Class B (1) 06/28/2021 C 66,656 (1) (1) 66,656 Preferred footnote<sup>(4)</sup> Stock<sup>(2)</sup> Stock Class A (2) С (2) (2) 559,568 06/28/2021 559,568 \$0.00 559,568 ī footnote<sup>(4)</sup> Stock Stock Class B Series D 5,226,698 (1) 06/28/2021 C 5,226,698 (1) (1) \$0.00 0 footnote<sup>(5)</sup> Stock<sup>(2)</sup> Stock Class B (1) C (1) (1) 985,055 06/28/2021 985,055 \$0.00 0 footnote<sup>(5)</sup> Preferred Com Stock(2) Class A Class B (2) 06/28/2021 C 6.211.753 (2) (2) 6.211.753 \$0.00 6,211,753 footnote<sup>(5)</sup> Stock Class B Series B (1) (1) (1) 310,428 06/28/2021 Preferred footnote<sup>(6)</sup> Stock<sup>(2)</sup> Stock Class B Series C 41,980 (1) C (1) (1) Preferred 06/28/2021 41 980 Con \$0.00 0 T footnote<sup>(6)</sup> Stock<sup>(2)</sup> Series D Class B (1) 90,391 06/28/2021 90,391 (1) (1) \$0.00 0 Preferred footnote<sup>(6)</sup> Stock(2) Stock Class B Series E 17,035 Preferred (1) 06/28/2021 C 17.035 (1) (1) \$0.00 0 footnote<sup>(6)</sup> Stock<sup>(2)</sup> Stock Class B Class A (2) 06/28/2021 C 459,834 (2) (2) 459,834 459,834

1. Name and Address of Reporting Person*  INDEX VENTURES VII (JERSEY), L.P.			
(Last) 5TH FLOOR, 44	(First) 4 ESPLANADE	(Middle)	
(Street) ST. HELIER	Y9	JE1 3FG	

Stock

(City)	(State)	(Zip)		
Name and Address of Reporting Person*     Index Ventures Growth IV (Jersey), L.P.				
(Last) 5TH FLOOR, 44 ES	(First) PLANADE	(Middle)		
(Street) ST. HELIER	Y9	JE1 3FG		
(City)	(State)	(Zip)		
1. Name and Address of Reporting Person* INDEX VENTURES VII PARALLEL ENTREPRENEUR FUND (JERSEY), L.P.				
(Last) 5TH FLOOR, 44 ES	(First) PLANADE	(Middle)		
(Street) ST. HELIER	Y9	JE1 3FG		
(City)	(State)	(Zip)		
Name and Address of Reporting Person*     Yucca (Jersey) SLP				
(Last) 5TH FLOOR, 44 ES	(First) PLANADE	(Middle)		
(Street) ST. HELIER Y9	Y9	JE1 3FG		
(City)	(State)	(Zip)		
Name and Address of Reporting Person*     Index Venture Growth Associates IV Ltd				
(Last) 5TH FLOOR, 44 ES	(First) PLANADE	(Middle)		
(Street) ST. HELIER	Y9	JE1 3FG		
(City)	(State)	(Zip)		
1. Name and Address of Reporting Person*  Index Venture Associates VII Ltd				
(Last) 5TH FLOOR, 44 ES	(First) PLANADE	(Middle)		
(Street) ST. HELIER	Y9	JE1 3FG		
(City)	(State)	(Zip)		

## Explanation of Responses:

- 1. Each share of Series B Preferred Stock, Series C Preferred Stock, Series D Preferred Stock and Series E Preferred Stock automatically converted into one share of Class B Common Stock immediately upon the closing of the Issuer's initial public offering (IPO).
- 2. Each share of Class B Common Stock held by the Reporting Person will automatically convert into one share of Class A Common Stock upon the sale or transfer of such share of Class B Common Stock, subject to certain exceptions, and in certain other circumstances described in the Issuer's amended and restated certificate of incorporation. Each share of Class B Common Stock will also be convertible at any time at the option of the Reporting Person into one share of Class A Common Stock.
- 3. The shares are held by Index Ventures VII (Jersey), L.P. ("Index VII"). Index Venture Associates VII Limited ("IVA VII") is the managing general partner of Index VII and disclaims Section 16 beneficial ownership of such shares except to the extent of its pecuniary interest therein, if any.
- 4. The shares are held by Index Ventures VII Parallel Entrepreneur Fund (Jersey), L.P. ("Index VII Parallel"). IVA VII is the managing general partner of Index VII Parallel and disclaims Section 16 beneficial ownership of such shares except to the extent of its pecuniary interest therein, if any.
- 5. The shares are held by Index Ventures Growth IV (Jersey), L.P. ("Index Growth IV"). Index Venture Growth Associates IV Limited ("IVGA IV") is the managing general partner of Index Growth IV and disclaims Section 16 beneficial ownership of such shares except to the extent of its pecuniary interest therein, if any.
- 6. The shares are held by Yucca (Jersey) SLP ("Yucca"). Yucca is the administrator of the Index co-investment vehicles that are contractually required to mirror the relevant Fund's investment in the issuer (in this case, Index Growth IV, Index VII and Index VII Parallel). Each of IVGA IV and IVA VII disclaims Section 16 beneficial ownership of such shares except to the extent of its pecuniary interest therein, if any, and this report shall not be deemed an admission that such shares are beneficially owned by it for Section 16 or any other purpose.

## Remarks:

Index Ventures VII (Jersey) LP,
By: Index Ventures Associates VII
Limited, as Managing General
Partner, By: /s/ Nigel Greenwood,
Its: Director
/s/ Index Ventures Growth IV
(Jersey), LP, By: Index Venture
Growth Associates IV Limited, as

<u>Managing General Partner, By: /s/</u> <u>Nigel Greenwood, Its: Director</u> /s/ Index Ventures VII Parallel

Entrepreneur Fund (Jersey) LP,
By: Index Venture Associates VII 06/30/2021

<u>Limited, as Managing General</u> <u>Partner, By: /s/ Nigel Greenwood,</u>

Its: Director

/s/ Yucca (Jersey) SLP, By: Intertrust Employee Benefit Services Limited, as authorized

signatory of Yucca (Jersey) SLP in

its capacity as Administrator of 06/30/2021

the Index Co-Investment Scheme,

By: /s/ Samuel Dustow, /s/ Genesis Perez, Its: Auth.

**Signatories** 

/s/ Index Venture Growth

Associates IV Limited, By: /s/ 06/30/2021

Nigel Greenwood, Its: Director

/s/ Index Venture Associates VII

Limited, By: /s/ Nigel

Greenwood, Its: Director

\*\* Signature of Reporting Person Date

06/30/2021

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

- \* 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.