

# FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
Washington, D.C. 20549

OMB APPROVAL	
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## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

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

(Print or Type Responses)

1. Name and Address of Reporting Person* Roch Francis C			2. Issuer Name and Ticker or Trading Symbol ForgeRock, Inc. [FORG]			5. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below) President & CEO		
(Last) (First) (Middle) C/O FORGEROCK, INC., 201 MISSION STREET, SUITE 2900			3. Date of Earliest Transaction (Month/Day/Year) 09/20/2021					
(Street) SAN FRANCISCO, CA 94105			4. If Amendment, Date Original Filed(Month/Day/Year)			6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person		
(City) (State) (Zip)			<b>Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned</b>					

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		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)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Common Stock (1)	09/20/2021		J(1)		195,331	D	\$ 0 (1)	0	D	

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

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

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. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Stock Option (right to buy)	\$ 3.6	09/20/2021		J(1)(2)			2,710,879	(3)	06/28/2028	Common Stock	2,710,879	\$ 0 (1)	0	D	
Stock Option (right to buy)	\$ 3.6	09/20/2021		J(1)(2)		2,710,879		(3)	06/28/2028	Class B Common Stock	2,710,879	\$ 0 (1)	2,710,879	D	
Stock Option (right to buy)	\$ 4.83	09/20/2021		J(1)(2)		400,000		(4)	02/08/2030	Common Stock	400,000	\$ 0 (1)	0	D	
Stock Option (right to buy)	\$ 4.83	09/20/2021		J(1)(2)		400,000		(4)	02/08/2030	Class B Common Stock	400,000	\$ 0 (1)	400,000	D	
Stock Option (right to buy)	\$ 7.86	09/20/2021		J(1)(2)		500,000		(5)	02/12/2031	Common Stock	500,000	\$ 0 (1)	0	D	
Stock Option (right to buy)	\$ 7.86	09/20/2021		J(1)(2)		500,000		(5)	02/12/2031	Class B Common Stock	500,000	\$ 0 (1)	500,000	D	
Class B Common Stock	\$ 0 (1)	09/20/2021		J(1)		195,331		(1)	(1)	Class A Common Stock	195,331	\$ 0 (1)	195,331	D	

### Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other

Rosch Francis C C/O FORGEROCK, INC. 201 MISSION STREET, SUITE 2900 SAN FRANCISCO, CA 94105	X		President & CEO	
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## Signatures

/s/ Samuel J. Fleischmann, by Power of Attorney for Francis C. Rosch		09/22/2021
<small>**Signature of Reporting Person</small>		<small>Date</small>

## Explanation of Responses:

\* 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).

- Pursuant to a reclassification exempt under Rule 16b-7 (the "Reclassification"), each share of ForgeRock, Inc.'s (the "Issuer") common stock, par value \$0.001 per share (the "Common Stock"), was automatically reclassified into one share of the Issuer's Class B common stock, par value \$0.001 per share (the "Class B Common Stock"), immediately prior to the closing of the initial public offering (the "IPO") of the Issuer's Class A common stock, par value \$0.001 per share (the "Class A Common Stock"). Each share of Class B Common Stock is convertible at any time at the option of the holder into one share of Class A Common Stock and has no expiration date. Additionally, each share of Class B Common Stock will, subject to certain conditions and exceptions, convert automatically into one share of Class A Common Stock upon any transfer.
- (2) Effective upon the occurrence of the Reclassification, all stock options outstanding under the Issuer's 2012 Equity Incentive Plan (the "2012 Plan") cover shares of Class B Common Stock.
  - (3) Option granted under the Issuer's 2012 Plan. Twenty-five percent (25%) of the shares subject to the option vested on June 29, 2019; thereafter, the remaining number of shares subject to the option vest in equal monthly installments over the following thirty-six (36) months, subject to the Reporting Person continuing as a service provider through each such date.
  - (4) Option granted under the Issuer's 2012 Plan. Twenty-five percent (25%) of the shares subject to the option vested on March 1, 2021; thereafter, the remaining number of shares subject to the option vest in equal monthly installments over the following thirty-six (36) months, subject to the Reporting Person continuing as a service provider through each such date.
  - (5) Option granted under the Issuer's 2012 Plan. Twenty-five percent (25%) of the shares subject to the option will vest on February 1, 2022; thereafter, the remaining number of shares subject to the option vest in equal monthly installments over the following thirty-six (36) months, subject to the Reporting Person continuing as a service provider through each such date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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