SEC Form 3

## FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

# INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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

1. Name and Address of Reporting Person*         2. Date of Event Statement (Mont 02/03/2025		3. Issuer Name and Ticker or Trading Symbol <u>OLAPLEX HOLDINGS, INC.</u> [OLPX ]			
(Last) (First) (Middle) C/O OLAPLEX HOLDINGS, INC. 432 PARK AVENUE SOUTH, THIRD FLOOR		4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner X Officer (give title Other (specify below) General Counsel	5. If Amendment, Date of Original Filed (Month/Day/Year)		
(Street) NEW YORK NY 10016 (City) (State) (Zip)			<ul> <li>6. Individual or Joint/Group Filing (Check Applicable Line)</li> <li>X Form filed by One Reporting Person Form filed by More than One Reporting Person</li> </ul>		

#### Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)		3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Common Stock	383,643(1)	D	

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)				6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	(Instr. 5)	
Option (Right to Buy)	(2)	04/11/2032	Common Stock	85,000	14.95	D	
Option (Right to Buy)	(3)	11/23/2032	Common Stock	85,000	5.41	D	

Explanation of Responses:

1. Represents 15,045 shares of common stock, par value \$0.001 per share ("Common Stock"), of the Issuer and 368,598 restricted stock units ("RSUs") granted to the Reporting Person under the Issuer's 2021 Equity Incentive Plan. Each RSU represents the conditional right to receive one share of Common Stock of the Issuer \$4,507 RSUs will vest in three equal installments on each of April 13, 2025, April 13, 2026, and April 13, 2027, subject to the Reporting Person's continued employment with the Issuer through the applicable vesting date. 284,091 RSUs will vest in four equal installments on each of March 6, 2025, March 6, 2026, March 6, 2027, and March 6, 2028, subject to the Reporting Person's continued employment with the Issuer through the applicable vesting date.

2. This option is vested as to 50% of the underlying shares of Common Stock of the Issuer and vests as to the remaining 50% in two equal installments on each of April 11, 2025 and April 11, 2026, subject to the Reporting Person's continued employment with the Issuer through the applicable vesting date.

3. This option is vested as to 50% of the underlying shares of Common Stock of the Issuer and vests as to the remaining 50% in two equal installments on each of November 23, 2025 and November 23, 2026, subject to the Reporting Person's continued employment with the Issuer through the applicable vesting date.

### Remarks:

Exhibit 24.1 - Power of Attorney.

<u>/s/ John C. Duffy</u>

<u>02/10/2025</u> Date

\*\* Signature of Reporting Person

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 5 (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.

OMB APPROVAL

## LIMITED POWER OF ATTORNEY

The undersigned hereby constitutes and appoints Amanda Baldwin, Tracie Chesterman and Dorothy Hill, and each of them individually, with full power of substitution, as the undersigned's true and lawful attorney-in-fact to:

- (1) prepare, execute in the undersigned's name and on the undersigned's behalf, and submit to the U.S. Securities and Exchange Commission (the "SEC") a Form ID, including amendments thereto, and any other documents necessary or appropriate to obtain codes and passwords enabling the undersigned to make electronic filings with the SEC of reports required by Section 16(a) of the Securities Exchange Act of 1934, as amended, or any rule or regulation of the SEC;
- (2) execute for and on behalf of the undersigned, in the undersigned's capacity as officer and/or director of Olaplex Holdings, Inc. (the "Company"), Forms 3, 4, 5 and any Schedules 13D or 13G in accordance with Section 16(a) of the Securities Exchange Act of 1934, as amended, and the rules thereunder;
- (3) do and perform any and all acts for and on behalf of the undersigned that may be necessary or desirable to complete and execute any such Form 3, 4, or 5 or Schedule 13D or 13G, complete execute any amendment or amendments thereto, and timely file such form with the SEC and any stock exchange or similar authority; and
- (4) take any other action of any type whatsoever in connection with the foregoing that, in the opinion of each such attorney-in-fact, may be of benefit to, in the best interest of, or legally required by, the undersigned, it being understood that the documents executed by each such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as each such attorney-in-fact may approve in each such attorney-in-fact's discretion.

The undersigned hereby grants to each such attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever requisite, necessary, or proper to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as the undersigned might or could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that each such attorney-in-fact's substitute or substitutes, shall lawfully do or cause to be done by virtue of this power of attorney and the rights and powers herein granted. The undersigned acknowledges that each foregoing attorney-in-fact, in serving in such capacity at the request of the undersigned, are not assuming, nor is the Company assuming, any of the undersigned's responsibilities to comply with Section 16 of the Securities Exchange Act of 1934, as amended.

This Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Forms 3, 4, 5, and any Schedules 13D or 13G with respect to the undersigned's holdings of and transactions in securities issued by the Company, unless earlier revoked by the undersigned in a signed writing delivered to each foregoing attorney-in-fact.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of January 28, 2025.

By: <u>/s/ John C. Duffy</u>

Name: John C. Duffy