SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL
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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 5. Relationship of Reporting Person(s) to Issuer 2. Issuer Name and Ticker or Trading Symbol 1. Name and Address of Reporting Person* (Check all applicable) MAIA Biotechnology, Inc. [MAIA] Vlad Laurentiu Х Director 10% Owner Officer (give title Other (specify below) below) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 12/30/2022 444 WEST LAKE STREET, SUITE 1700 (Street) 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) Form filed by One Reporting Person CHICAGO IL 60606 X Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 5. Amount of Securities Beneficially Owned 2A. Deemed Execution Date, 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) 6. Ownership Form: Direct (D) 1. Title of Security (Instr. 3) 2. Transaction 7. Nature of 5. Transaction Indirect Beneficial Date (Month/Day/Year) if any (Month/Day/Year) Code (Instr. or Indirect (I) Following Reported Transaction(s) (Instr 8) (Instr. 4) Ownership (Instr. 4) (A) or (D) 3 and 4) Price Code v Amount Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of 3. Transaction 5. Number of 6. Date Exercisable and 7. Title and Amount of 11. Nature 3A. Deemed 8. Price of 9. Number of 10. 2. Derivative Conversion Execution Date, Transaction Derivative Expiration Date Securities Underlying Derivative Security (Instr. Derivative derivative Ownership of Indirect Date Security (Instr. 5) Security (Instr. 3) or Exercise (Month/Day/Year Code (Instr. 8) Securities (Month/Day/Year) Securities Beneficial if any (Month/Day/Year) orm: Direct (D) Acquired (A) 3 and 4) Beneficially Ownership Price of or Disposed of (D) (Instr. 3, 4 and 5) Derivative Owned or Indirect (Instr. 4) Following Reported Transaction(s) Security (I) (Instr. 4) Amount (Instr. 4) Number Date Expiration ν Code (A) (D) Exercisable Date Title of Shares Common 12/30/2022 3,045 \$3.51 3 0 4 5 12/30/2022(1 12/30/2032 3 0 4 5 D Stock Options A \$<mark>0</mark> Stock

Explanation of Responses:

1. The stock options, granted on December 30, 2022 pursuant to MAIA Biotechnology, Inc's 2021 Equity Incentive Plan, representing the right to buy shares of common stock, vest 100% on the date of the grant and are exercisable beginning as of that date.

/s/ Laurentiu Vlad

** Signature of Reporting Person

01/04/2023

Date

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.