SEC Form 3 FORM 3

## UNITED STATES SECURITIES AND EXCHANGE

COMMISSION

Washington, D.C. 20549

## **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

OMB APPROVAL

3235-OMB Number: 0104

Estimated average burden hours per response: 0.5

| 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 A<br>Dupont Ja  | Requiring<br>(Month/Da             | 2. Date of Event<br>Requiring Statement<br>(Month/Day/Year) 3. Issuer Name and Ticker or Trading Symbol   07/29/2022 Apexigen, Inc. [ APGN ] |                     |  |                               |  |  |                       |  |                               |  |
|---|------------------------------------|--|---------------------|--|-------------------------------|--|--|-----------------------|--|-------------------------------|--|
| (Last)<br>C/O APEXI<br>75 SHORE   | (First)<br>IGEN, INC.<br>WAY ROAD, | (Middle)   | _                   |  |                               | 4. Relationship of Reporting P<br>Issuer<br>(Check all applicable)<br>X Director |  |                       | 5. If Amendment, Date of Original<br>Filed (Month/Day/Year)<br>08/08/2022  |                               |  |
| (Street)<br>SAN CA 94070<br>CARLOS  |                                    | _  |                     |  | Officer (give<br>title below) |  | (Ch                                    |                       | 6. Individual or Joint/Group Filing<br>(Check Applicable Line)<br>X Form filed by One Reporting<br>Person<br>Form filed by More than One<br>Reporting Person |                               |  |
| (City)  | (State)                            | (Zip)  |                     |  |                               |  |  |                       |  |                               |  |
| Table I - Non-Derivative Securities Beneficially Owned  |                                    |  |                     |  |                               |  |  |                       |  |                               |  |
| 1. Title of Security (Instr. 4)   |                                    |  |                     |  |                               | unt of Securities<br>cially Owned (Instr.  |  |                       | 4. Nature of Indirect Beneficial<br>Ownership (Instr. 5)   |                               |  |
| Table II - Derivative Securities Beneficially Owned<br>(e.g., puts, calls, warrants, options, convertible securities) |                                    |  |                     |  |                               |  |  |                       |  |                               |  |
| E>  |                                    |  | Expiration D        | . Date Exercisable and<br>Expiration Date<br>Month/Day/Year) |                               | 3. Title and Amount of Secur<br>Underlying Derivative Securi<br>(Instr. 4)       |  |                       |  |                               | 6. Nature of<br>Indirect Beneficial<br>Ownership (Instr.<br>5) |
|   |                                    |  | Date<br>Exercisable | Expiration<br>Date   | Title                         |  | Amount<br>or<br>Number<br>of<br>Shares | Derivativ<br>Security | ve   | or Indirect<br>(I) (Instr. 5) | 5)   |
| Stock Option (right to buy)   |                                    | (1)  | 02/12/2031          | C  | Common Stock                  | 20,489   | 4.49                                   |                       | D  |                               |  |

## Explanation of Responses:

1. Prior to the date on which the reporting person became subject to Section 16, he was granted an option to purchase 20,489 shares of common stock which vest upon the satisfaction of certain performance metrics. The first threshold was met resulting in the vesting of 5,122 shares. The remaining shares vest upon the achievement of certain additional performance metrics or upon a change in control.

## **Remarks:**

This amendment on Form 3 is filed to report an option that was inadvertently omitted from the Form 3 filed on August 8, 2022.

/s/ Francis Sarena, by power of attorney \*\* Signature of Reporting Person

08/24/2023

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 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.