FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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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).

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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*  JOHNSON CHAD ALLEN						2. Issuer Name <b>and</b> Ticker or Trading Symbol LUMOS PHARMA, INC. [ (LUMO) ]									elationship eck all appli	· '			
					2 5										Officer	(give title		Other (s	·
(Last) (First) (Middle) 4200 MARATHON BLVD						3. Date of Earliest Transaction (Month/Day/Year) 04/03/2020									below)			below)	
SUITE 2	00				4. If	f Ame	ndment,	Date	of Origina	Filed	(Month/D	ay/Yeaı	·)	6. lı	ndividual or	Joint/Group	Filing	g (Check Ap	plicable
(Street)														Line	,	iled by One	e Repo	orting Perso	n
AUSTIN	T.	X '	78756 											Form filed by More than One Reporting Person				rting	
(City)	(S	tate)	(Zip)																
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																			
1. Title of Security (Instr. 3)  2. Transa Date (Month/D.					ay/Year) if a		2A. Deemed Execution Date, if any (Month/Day/Year		, Transaction Dispo		ities Ac d Of (D)			Benefici Owned I	es Fo ially (D) Following (I)		n: Direct r Indirect str. 4)	7. Nature of Indirect Beneficial Ownership	
									Code	v	Amount	ount (A) or (D)		Price	Reporte Transac (Instr. 3	tion(s)			(Instr. 4)
Common Stock 04/0				04/03	03/2020				A		7090	709 <sup>(1)</sup> A		\$0	7	709		D	
		Т	able II - [								osed of onverti				Owned				
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Da if any (Month/Day/Y	Date,	Code (Inst				6. Date Exercisabl Expiration Date (Month/Day/Year)			Amount of			8. Price of Derivative Security (Instr. 5)		Ov Fo Di or (I)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
					Code	v	(A)	(D)	Date Exercisal		expiration pate	Title	O N O	umber					
Stock Option (Right to	\$7.78	04/03/2020			A		5,684		(2)	0	4/02/2030	Comm		5,684	\$0	5,684		D	

## **Explanation of Responses:**

- 1. Represents shares issued as restricted stock units ("RSUs") under the Issuer's 2010 Non-Employee Director Stock Award Plan (the "Plan") that were received as an award, for no consideration. The RSUs vest in a series of three successive annual installments beginning on April 3, 2021, provided in each case that the Reporting Person's continuous service to the Issuer has not been terminated as defined in or as determined under the Plan
- 2. Grant to the Reporting Person of a nonstatutory stock option under the Plan. One-third of the shares vest on the one-year anniversary of the grant date and the remaining two-thirds of the shares vest in a series of 24 successive equal monthly installments thereafter, subject to the Reporting Persons's continuous service as of such dates. The option expires ten years after the date of grant, unless it expires sooner pursuant to the terms of the Plan.

## Remarks:

/s/ Ryan Trytten, attorney-in-

\*\* Signature of Reporting Person

<u>fact</u>

<u>04/07/2020</u>

Date

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

- $^{\star}$  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.