FORM 4

## **UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

| Washington, | D.C. 20549 |  |
|-------------|------------|--|

| <b>STATEMENT</b> | OF CHANGES | IN BENEFICIAL | OWNERSHIP |
|------------------|------------|---------------|-----------|

| OMB APPR                 | OVAL      |  |  |  |  |  |  |  |  |
|--------------------------|-----------|--|--|--|--|--|--|--|--|
| OMB Number:              | 3235-0287 |  |  |  |  |  |  |  |  |
| Estimated average burden |           |  |  |  |  |  |  |  |  |
| hours per response:      | 0.5       |  |  |  |  |  |  |  |  |

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

| 1. Name and Address of Reporting Person*  McCracken Joseph S |  |  |                         |                                 | 2. Issuer Name <b>and</b> Ticker or Trading Symbol LUMOS PHARMA, INC. [ (LUMO) ] |   |   |  |   |             |  | ationship<br>call app<br>Direc                                | ,               | ng Persor   | n(s) to Is:  |   |         |  |   |
|--|--|--|-------------------------|---------------------------------|--|---|---|--|---|-------------|--|---|-----------------|---|--|---|---------|--|---|
| (Last) 4200 MA   | (Fir   | ,  | /liddle)                |                                 |  | 3. Date of Earliest Transaction (Month/Day/Year) 11/16/2022 |   |  |   |             |  |   | Office<br>below | er (give title<br>/)  |  | Other (specify below)                               |         |  |   |
| (Street)   | .00  |  |                         |                                 | 4. If A  | Amend   | ment, I                                 | Date o   | f Origina   | al File     | d (Month/Da  | y/Year)   |                 | 6. Indi   |  | Joint/Grou  |         |  | . |
| AUSTIN   | TX   | 7  | 8756                    |                                 |  |   |   |  |   |             |  |   |                 | A   |  | filed by Mo   |         | •  |   |
| (City)   | (Sta   | ate) (Z                                    | ľip)                    |                                 |  |   |   |  |   |             |  |   |                 |   |  |   |         |  |   |
|  |  | Table                                      | I - No                  | n-Deriva                        | tive S   | Secui   | rities                                  | Acq  | uired,  | , Dis       | posed of   | , or B  | enef            | icially   | Own  | ed  |         |  |   |
| Date   |  | 2. Transac<br>Date<br>(Month/Da            | Exec<br>ay/Year) if any |                                 | A. Deemed<br>kecution Date,<br>any<br>lonth/Day/Year)                            |   | 3.<br>Transaction<br>Code (Instr.<br>8) |  | 4. Securities Acquired (A<br>Disposed Of (D) (Instr. 3,<br>5) |             |  | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following |                 | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) |  | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership |         |  |   |
|  |  |  |                         |                                 |  | Code V Amount (A) or Pr                                     |   |  |   |             | ice  | Reported<br>Transaction(s)<br>(Instr. 3 and 4)                |                 |   |  | Instr. 4)   |         |  |   |
| Common   | Stock  |  |                         | 11/16/2                         | 2022   |   |   |  | P   |             | 4,000  | A   | \$5             | 5.03(1)   | 15   | ,721(2)   | D       |  |   |
|  | Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) |  |                         |                                 |  |   |   |  |   |             |  |   |                 |   |  |   |         |  |   |
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3)          | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security  | 3. Transaction<br>Date<br>(Month/Day/Year) | if any                  | emed<br>ion Date,<br>/Day/Year) | 4.<br>Transa<br>Code (<br>8)   | 5. Number of  |   | 6. Date Exercisable and Expiration Date (Month/Day/Year) |   | ite<br>ear) | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative<br>Security (Ins<br>3 and 4) |   | tr.             | Price of<br>rivative<br>surity<br>str. 5)                         | 9. Number<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction<br>(Instr. 4) | Ow<br>For<br>Dire<br>or I<br>(I) (                  | nership | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |   |

## **Explanation of Responses:**

- 1. The price reported in Column 4 is a weighted average price. These shares were purchased in multiple transactions at prices ranging from \$5.005 to \$5.0536, inclusive. The reporting person undertakes to provide to the issuer, any security holder of issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each price within the ranges set forth in this footnote to this Form 4.
- 2. Includes 237 restricted stock units ("RSUs") previously reported as holdings of the Reporting Person granted under the Issuer's 2009 Equity Incentive Plan (the "Plan"). The RSUs will vest, and shares will be delivered to the Reporting Person in a single installment on April 3, 2023, provided that the Reporting Person's continuous service to the Issuer has not been terminated as defined in or as determined under the Plan

## Remarks:

/s/ Ryan Trytten, attorney-infact

11/18/2022

\*\* Signature of Reporting Person 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.