SEC Form 4

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

I

L								
	OMB Number:	3235-0287						
Estimated average burden								
	hours per response:	0.5						

Instruction 1(b)).	Filed	pursuant to Section 16(a) of the Securities Exchange Act of 193	34			
			or Section 30(h) of the Investment Company Act of 1940				
1. Name and Addr Orlinger Kla	•	g Person [*]	2. Issuer Name and Ticker or Trading Symbol HOOKIPA Pharma Inc. [HOOK]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner X Officer (give title Other (specify			
(Last) C/O HOOKIPA		(Middle) INC., D FLOOR, SUITE 7240	3. Date of Earliest Transaction (Month/Day/Year) 07/20/2020	EVP, Research			
(Street) NEW YORK	NY (State)	10118 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person 			
		Table I - Non-Deriva	tive Securities Acquired Disposed of or Ben	eficially Owned			

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)					5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		
Common Stock	07/20/2020		A		1,216 ⁽¹⁾	Α	\$ <mark>0</mark>	1,216	D	

	Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)														
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code (8)		of Deriv	r osed) 7. 3, 4	Expiration Da	Expiration Date (Month/Day/Year)		e and Int of rities rlying ative rity (Instr. 4)	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. The Reporting Person was awarded 1,216 restricted stock units. Each restricted stock unit represents a contingent right to receive one share of HOOKIPA Pharma Inc.'s Common Stock. The restricted stock units vest shall vest in four equal installments on March 20, 2021, May 15, 2021, August 15, 2021 and November 15, 2021. The restricted stock units may be settled only by delivering shares of HOOKIPA Pharma Inc.'s Common Stock, and thus, the grant is being reported in Table 1 as allowed per SEC guidance.

<u>/s/ Reinhard Kandera, as</u>	07/22/2020
Attorney-in-Fact	<u>07/22/2020</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 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.