SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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Estimated average burden									
hours per response:	0.5								

Gift Trust

	Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. <i>See</i> Instruction 1(b).
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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 Addr SHORT JAY	2. Issuer Name ar <u>BioAtla, Inc</u>						ationship of Repo (all applicable) Director	•	s) to Issuer 0% Owner				
(Last) C/O BIOATLA	3. Date of Earliest 06/17/2021	Transa	ction ((Month/Day/Ye		Х	Officer (give title Other (speci below) below) Chief Executive Officer						
(Street) SAN DIEGO (City)	4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Ageneric) X Form filed by One Reporting Person Form filed by More than One Reporting Person									Person			
	Т	Table I ·	- Non-Deriva	tive Securities	s Acqu	uired	l, Dispose	d of, c	or Benefic	cially	v Owned		
1. Title of Security (Instr. 3)		I	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and			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	1	Reported Transaction(s) Instr. 3 and 4)		
Common Stock			06/17/2021		S		19,269	D	\$39.2212	(1)	845,333	I	By Spouse
Common Stock			06/21/2021		S		17,575 ⁽²⁾	D	\$38.2445	;(3)	827,758	I	By Spouse
Common Stock			06/21/2021		S		35,725 ⁽²⁾	D	\$39.5355	(4)	792,033	I	By Spouse
Common Stock			06/21/2021		S		1,700 ⁽²⁾	D	\$39.8941	(5)	790,333	I	By Spouse
Common Stock											258,727	I	By Jay Short 2020 Irrevocable Gift Trust
Common Stock											302,324	Ι	By Capia IP, LLC
Common Stock											258,727	I	By Carolyn Short 2020 Irrevocable

Common Stock											1,441	,508	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. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		Amo Secu Unde Deriv	rity (Instr.	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 range of prices for the shares of Common Stock is from \$39.00 to \$39.62. The reporting person's spouse undertakes that she will provide, upon request by the staff of the U.S. Securities and Exchange Commission, full information regarding the number of securities sold at each separate price.

2. Represents shares of the Issuer's common stock sold by the reporting person's spouse to cover taxes due upon the release and settlement of her 138,461 RSUs.

3. The range of prices for the shares of Common Stock is from \$37.83 to \$38.82. The reporting person's spouse undertakes that she will provide, upon request by the staff of the U.S. Securities and Exchange Commission, full information regarding the number of securities sold at each separate price.

4. The range of prices for the shares of Common Stock is from \$38.83 to \$39.82. The reporting person's spouse undertakes that she will provide, upon request by the staff of the U.S. Securities and Exchange Commission, full information regarding the number of securities sold at each separate price.

5. The range of prices for the shares of Common Stock is from \$39.83 to \$40.09. The reporting person's spouse undertakes that she will provide, upon request by the staff of the U.S. Securities and Exchange Commission, full information regarding the number of securities sold at each separate price.

Remarks:

<u>/s/ Christian Vasquez, as</u> <u>Attorney-in-Fact for Jay M.</u> Short

06/22/2021

** 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.