SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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 Address of Reporting Person [*] WALDRON RICHARD A			2. Issuer Name and Ticker or Trading Symbol <u>BioAtla, Inc.</u> [BCAB]	(Check	tionship of Reporting Per all applicable) Director	10% Owner				
(Last) C/O BIOATLA	C/O BIOATLA, INC. 11085 TORREYANA ROAD Street) SAN DIEGO CA 92121		3. Date of Earliest Transaction (Month/Day/Year) 11/22/2021	X	Officer (give title below) Chief Financial	Other (specify below) Officer				
(Street) SAN DIEGO (City)			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-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)		4. Securities Disposed Of		d (A) or r. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	11/22/2021	11/26/2021	S ⁽¹⁾		3,626	D	\$26.235 ⁽²⁾	162,965	D	
Common Stock	11/23/2021	11/29/2021	S ⁽¹⁾		3,669	D	\$24.285 ⁽³⁾	159,296	D	
Common Stock	11/23/2021	11/29/2021	S ⁽¹⁾		2,101	D	\$26.035 ⁽⁴⁾	157,195	D	
Common Stock	11/24/2021	11/29/2021	S ⁽¹⁾		1,459	D	\$24.053(5)	155,736	D	
Common Stock	11/24/2021	11/29/2021	S ⁽¹⁾		1,354	D	\$24.999(6)	154,382	D	
Common Stock	11/24/2021	11/29/2021	S ⁽¹⁾		1,124	D	\$25.771 ⁽⁷⁾	153,258	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 Secu Acqu (A) o Dispo of (D (Insti	Derivative (Month/Day/Year) Securities Acquired (A) or Disposed		ate	le and 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 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. Represents shares of the Issuer's common stock sold by the reporting person to cover taxes due upon the release and settlement of the vested RSUs.

2. The range of prices for the shares of Common Stock is from \$25.83 to \$26.75. The reporting person undertakes that he 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.

3. The range of prices for the shares of Common Stock is from \$23.82 to \$24.79. The reporting person undertakes that he 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 \$24.85 to \$25.70. The reporting person undertakes that he 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 \$23.48 to \$24.32. The reporting person undertakes that he 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.

6. The range of prices for the shares of Common Stock is from \$24.48 to \$25.42. The reporting person undertakes that he 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.

7. The range of prices for the shares of Common Stock is from \$25.57 to \$26.14. The reporting person undertakes that he 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:

/s/ Christian Vasquez, as

Attorney-in-Fact for Richard 11/30/2021

A. Waldron

** 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.