SEC Form 4	
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## FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 323	35-0287								
Estimated average burden									
hours per response:	0.5								

11. Nature

of Indirect Beneficial

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

	dress of Reporting F	Person*	2. Issuer Name and Ticker or Trading Symbol LUMOS PHARMA, INC. [ (LUMO) ]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)						
Raffin Tho	<u>IIIds A.</u>			X	Director	10% Owner					
	(First) ITHON BLVD.	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 05/20/2021		Officer (give title below)	Other (specify below)					
SUITE 200			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	ng (Check Applicable						
(Street) AUSTIN	TN	78756		X	Form filed by One Re Form filed by More th Person						
(City)	(State)	(Zip)									
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)	Transaction Code (Instr.					5. Amount of Securities Beneficially Owned Following Reported	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	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock	05/20/2021		A		367(1)	A	\$ <mark>0</mark>	8,256 <sup>(2)</sup>	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 3A. Deemed 6. Date Exercisable and 9. Number of 3. Transaction 5. Number 7. Title and 8. Price of 10. Date (Month/Day/Year) Transaction Code (Instr. Expiration Date (Month/Day/Year) Amount of Securities Derivative Security derivative Securities Ownership Form: Conversion Execution Date if any or Exercise Derivative

(Instr. 3)	Price of Derivative Security		(Month/Day/Year)	8) Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			Underlying Derivative Security (Instr. 3 and 4)			(Instr. 5)	Beneficially Owned Following Reported Transaction(s) (Instr. 4)	Direct (D) or Indirect (I) (Instr. 4)	Ownership (Instr. 4)			
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares					
Stock Option (Right to Buy)	\$10.36	05/20/2021		A		2,910		(3)	05/19/2031	Common Stock	2,910	\$0	2,910	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 single installment on the earlier of (i) the first anniversary of the date of grant and (ii) the date of the first Annual Meeting following the date of grant, 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.

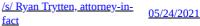
2. Includes 473 RSUs previously reported as holdings of the Reporting Person granted under the Plan. The RSUs will vest, and shares will be delivered to the Reporting Person in a series of two successive annual installments with the next installment occurring on April 3, 2022, provided in each case that the Reporting Person's continuous service to the Issuer has not been terminated as defined in or as determined under the Plan.

3. Grant to the Reporting Person of a nonstatutory stock option under the Plan. One hundred percent (100%) of the shares shall vest on the earlier of (i) the first anniversary of the date of grant and (ii) the date of the first Annual Meeting following the date of grant, in each case subject to the Reporting Person's continuous service as of such date. The option expires ten years after the date of grant.

### Remarks:

1. Title of

Derivative Security



\*\* 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.