| SEC Form 4 |  |
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## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

| 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)

## 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 Add<br>Korbel Gre  | dress of Reporting Pe<br>gory Alan | erson*   |                                       | r Name <b>and</b> Ticker<br>a <u>Therapeutic</u> |                                   |  | (Check  | tionship of Reportin<br>all applicable)<br>Director<br>Officer (give title | 10% 0   | ) Issuer<br>6 Owner<br>er (specify     |  |
|--|------------------------------------|----------|---------------------------------------|--|-----------------------------------|--|---|--|---|--|--|
| (Last)<br>535 BOYLST   | (First)<br>CON STREET              | (Middle) | 3. Date<br>11/01/2                    | of Earliest Transac<br>2021                      | tion (Month/D                     | ay/Year)   | X   | below)<br>SVP, Chief B   | )   |  |  |
| (Street)   |                                    |          |                                       | endment, Date of (                               | Driginal Filed (                  | Month/Day/Year)  | 6. Individual or Joint/Group Filing (Check Applicable Line) |  |   | pplicable                              |  |
| BOSTON   | MA                                 | 02116    |                                       |  |                                   |  | X   | Form filed by One<br>Form filed by Mor                                     |   |  |  |
| (City)   | (State)                            | (Zip)    |                                       |  |                                   |  |   | Person   | e than one rrep                                 | orang                                  |  |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |                                    |          |                                       |  |                                   |  |   |  |   |  |  |
| Date   |                                    |          | Transaction<br>ate<br>lonth/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any          | 3.<br>Transaction<br>Code (Instr. | 4. Securities Acquired (A)<br>Disposed Of (D) (Instr. 3,<br>5) |   | 5. Amount of<br>Securities<br>Beneficially                                 | 6. Ownership<br>Form: Direct<br>(D) or Indirect | 7. Nature<br>of Indirect<br>Beneficial |  |

|              | (Month/Day/Year) | if any<br>(Month/Day/Year) | Code (Instr.<br>8)      |   | 5)     |               |                    | Beneficially<br>Owned Following<br>Reported | (D) or Indirect<br>(I) (Instr. 4) | Beneficial<br>Ownership<br>(Instr. 4) |  |
|--------------|------------------|----------------------------|-------------------------|---|--------|---------------|--------------------|---|-----------------------------------|---------------------------------------|--|
|              |                  |                            | Code                    | v | Amount | (A) or<br>(D) | Price              | Transaction(s)<br>(Instr. 3 and 4)          |                                   | (11341.4)                             |  |
| Common Stock | 11/01/2021       |                            | М                       |   | 27,500 | A             | \$0.92             | 44,667                                      | D                                 |                                       |  |
| Common Stock | 11/01/2021       |                            | <b>S</b> <sup>(1)</sup> |   | 27,500 | D             | \$5 <sup>(2)</sup> | 17,167                                      | 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) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | of<br>Deri<br>Secu<br>Acq<br>(A) c<br>Disp<br>of (D | umber<br>vative<br>urities<br>uired<br>or<br>osed<br>)) (Instr.<br>and 5) | 6. Date Exerc<br>Expiration Da<br>(Month/Day/Y | te of Securities   |                 | ities Derivative<br>ng Security<br>re Security (Instr. 5) |     | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---|---|--|---|------------------------------|---|---|---|--|--------------------|-----------------|---|-----|--|--|--|
|   |   |  |   | Code                         | v | (A)   | (D)   | Date<br>Exercisable                            | Expiration<br>Date | Title           | Amount<br>or<br>Number<br>of<br>Shares                    |     |  |  |  |
| Stock<br>Option<br>(right to<br>Buy)                | \$0.92  | 11/01/2021                                 |   | М                            |   |   | 25,245  | (3)  | 09/14/2026         | Common<br>Stock | 25,245  | \$0 | 0  | D  |  |
| Stock<br>Option<br>(right to<br>Buy)                | \$0.92  | 11/01/2021                                 |   | М                            |   |   | 2,255   | (4)  | 02/16/2027         | Common<br>Stock | 2,255   | \$0 | 29,835   | D  |  |

## Explanation of Responses:

1. The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person.

2. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$4.90 to \$5.09 inclusive. The reporting person undertakes to provide Aprea Therapeutics, Inc., any security holder of Aprea Therapeutics, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

3. This option was granted on September 14, 2016 and is fully exercisable.

4. This option was granted on February 26, 2017 and is fully exercisable.

| /s/ Scott M. Coiante, attorney- |  |
|---------------------------------|--|
| <u>in-fact</u>                  |  |

11/03/2021

\*\* 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.