SEC Form 3 FORM 3

UNITED STATES SECURITIES AND EXCHANGE

COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Estimated average burden hours per response: 0.5

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 [*] Rotino Gianluca	2. Date of Requiring (Month/Da 10/15/20	Statement ay/Year)	3. Issuer Name and Ticker or Trading Symbol <u>Kiromic Biopharma, Inc.</u> [KRBP]						
(Last) (First) (Middle) 7707 FANNIN, SUITE 140 (Street) HOUSTON TX 77054 (City) (State) (Zip)			4. Relationship of Reporting Issuer (Check all applicable) X Director X Officer (give title below) CSIO	10% O Other (below)	wner specify	Filed 6. Inc	l (Month/Day/ dividual or Joi cck Applicable Form filed k Person	nt/Group Filing Line) by One Reporting by More than One	
Table I - Non-Derivative Securities Beneficially Owned									
1. Title of Security (Instr. 4)			2. Amount of Securities Beneficially Owned (Instr. 4)	Form: D (D) or In			4. Nature of Indirect Beneficial Ownership (Instr. 5)		
Common Stock			320,000	E	C				
Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)									
1. Title of Derivative Security (Instr. 4) 2. Date Exeritation (Month/Date)			3. Title and Amount of Se Underlying Derivative Sec (Instr. 4)		rity Conversion Conversion		ise Form:	6. Nature of Indirect Beneficial Ownership (Instr.	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivati Security	ive	Direct (D) or Indirect (I) (Instr. 5)	5)	
Restricted Stock Units	(1)	08/20/2030	Common Stock	21,956	0		D		
Restricted Stock Units	(2)	08/20/2030	Common Stock	186,135	0		D		
Stock Options	11/10/2017	11/09/2027	Common Stock	147,806	6.64	4	D		

Explanation of Responses:

1. 25% of the Restricted Stock Units vest at the end of each of four consecutive calendar quarters, beginning on September 30, 2020. Notwithstanding anything to the contrary contained in this schedule or in the RSU Agreement, to the extent that the Grantee is subject to a lock up or similar agreement at the time of the vesting of any RSUs granted, then the vesting date of such RSUs shall be deferred until such time as such lock up or similar agreement has expired.

2. The Restricted Stock Units vest upon achievement of certain corporate milestones which were approved by the Company's Board of Directors on August 20, 2020. Notwithstanding anything to the contrary contained in this schedule or in the Agreement, to the extent that the Grantee is subject to a lock up or similar agreement at the time of the vesting of any RSUs granted, then the vesting date of such RSUs shall be deferred until such time as such lock up or similar agreement has expired.

<u>/s/ Gianluca Rotino</u>	10/16/2020			
** Signature of Reporting	Data			

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 5 (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.