FORM 3

## **UNITED STATES SECURITIES AND EXCHANGE** COMMISSION

Washington, D.C. 20549

| OMB APPROVAL             |               |  |  |  |  |  |  |  |
|--------------------------|---------------|--|--|--|--|--|--|--|
| OMB Number:              | 3235-<br>0104 |  |  |  |  |  |  |  |
| Estimated average burden |               |  |  |  |  |  |  |  |
| hours per                | 0.5           |  |  |  |  |  |  |  |

## INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| Chiriva Internati Maurizio   |   |  | Event<br>Statement<br>ay/Year) | 1  | . Issuer Name <b>and</b> Ticker or Trading Symbol <u>Kiromic Biopharma, Inc.</u> [ KRBP ] |   |  |  |  |  |  |
|--|---|--|--------------------------------|--|---|---|--|--|--|--|--|
| (Last) 7707 FANN (Street) HOUSTON (City)   | (First) (Middle) IN, SUITE 140  TX 77054  (State) (Zip) |  |                                | 4. Relationship of Reporting Issuer (Check all applicable)  X Director  X Officer (give title below)  Chairman, CEO, a | 10% O<br>Other (<br>below)  | wner<br>specify                             | 5. 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 Beneficially Owned   |   |  |                                |  |   |   |  |  |  |  |  |
| 1. Title of Security (Instr. 4)  |   |  |                                | 2. Amount of Securities<br>Beneficially Owned (Instr.<br>4)  | 3. Owner Form: D (D) or In (I) (Instr   | Direct Ow<br>Indirect                       |  | Nature of Indirect Beneficial<br>wnership (Instr. 5) |  |  |  |
| Common Stock   |   |  |                                | 1,375,272  |   | )   |  |  |  |  |  |
| Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) |   |  |                                |  |   |   |  |  |  |  |  |
|  |   | 2. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                                | 3. Title and Amount of Securities<br>Underlying Derivative Security<br>(Instr. 4)                                      |   | 4.<br>Conversion<br>or Exercise<br>Price of |  | 5.<br>Ownership<br>Form:                             | 6. Nature of<br>Indirect Beneficial<br>Ownership (Instr. |  |  |
|  |   | Date<br>Exercisable  | Expiration<br>Date             | Title  | Amount<br>or<br>Number<br>of<br>Shares  | Derivative<br>Security                      |  | Direct (D)<br>or Indirect<br>(I) (Instr. 5)          | 5)   |  |  |
| Restricted St  | ock Units   | (1)  | 08/20/2030                     | Common Stock   | 35,130  | 0   |  | D  |  |  |  |
| Restricted St  | ock Units   | (2)  | 08/20/2030                     | Common Stock   | 475,018   | 0   |  | D  |  |  |  |

## **Explanation of Responses:**

- 1. 25% of the Restricted Stock Units vest at the end of each of the first four consecutive calendar quarters. 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 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 hereunder, then the vesting date of such RSUs shall be deferred until such time as such lock up or similar agreement has expired.

/s/ Maurizio Chiriva <u>Internati</u>

10/16/2020

Date

\*\* Signature of Reporting

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.