(Last)

(Street) ROSLYN

(City)

**HEIGHTS** 

3 EXPRESSWAY PLAZA

(First)

NY

(State)

1. Name and Address of Reporting  $\mathsf{Person}^{\star}$ LG Management, LLC

(Middle)

11577

(Zip)

FORM 4

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

Washington, D.

.C. 20549	OMB AF

OMB APPROVAL							
OMB Number:	3235-0287						
Estimated average bur	den						

Section obligat	this box if no len 16. Form 4 or ions may contition 1(b).		STA			pursua	int to	Section 16( 30(h) of the	a) of the S	Secur	ities Exchar	nge A	ct of 19		ΗP	Estim	Number nated ave s per resp	erage burd	3235-0287 en 0.5
	nd Address of n Fund L	f Reporting Person <sup>*</sup> . <u>P.</u>	:					me <b>and</b> Ticl <u>herapeu</u>							elationship of F ck all applicab Director	ole)	g Perso	10% (	Owner
(Last) THREE	•	First) WAY PLAZA	(Middle)			3. Date 11/04/		arliest Trans )	saction (N	lonth/	Day/Year)				Officer (g below)	ive title		below	(specify
(Street) ROSLYN HEIGHT	N	NY	11577			4. If An	nendn	nent, Date o	of Origina	Filed	l (Month/Da	ıy/Yea	ur)	Line	Form file	d by One	e Repor	ting Perso	
(City)	(:	State)	(Zip)	n-Dei	riva	tive S	Seci	ırities A <i>c</i>	rquired		hazona	of o	r Rer	eficially	Owned				
1. Title of Security (Instr. 3)		able 1 - 140	2. Tran Date (Month	sactio	on	2A. E Exec if any	2A. Deemed Execution Date, if any (Month/Day/Year)		3. Transaction Code (Instr. 8)		4. Securities Acquired (A) Disposed Of (D) (Instr. 3, 4		(A) or	5. Amount of Securities Beneficially ( Following Re	. Amount of securities seneficially Owned following Reported		ership Direct ndirect :r. 4)	7. Nature of Indirect Beneficial Ownership	
									v	Amount		(A) or (D)	Price	Transaction( (Instr. 3 and 4				(Instr. 4)	
Common	Stock			11/0	04/20	)19			P		415,00	00	A	\$12	2,575,371	(1)(3)(4)		I	See Footnote <sup>(1</sup>
			Table II					ities Acq warrants							Owned				
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Day if any (Month/Day/	ate, T		ransaction code (Instr. )		Derivative		6. Date Exercis Expiration Dat (Month/Day/Ye		7. Title and Amour Securities Underly Derivative Security (Instr. 3 and 4)		Jnderlying Security	8. Price of Derivative Security (Instr. 5)	derivativ Securition Benefici Owned Followir Reporte	ive ies cially ng ed	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4	Benefici Ownersi ct (Instr. 4)
					Code	v	(A)	(D)	Date Exercisa	ıble	Expiration Date	Title	- 1	Amount or Number of Shares		Transac (Instr. 4)			
Series B Preferred Stock	(2)	11/04/2019			С			1,641,666	11/04/20	019	(2)		nmon ock	1,641,666	(2)	0	1	I	See footnote 2, 3 and
Series C Preferred Stock	(2)	11/04/2019			С			363,504	11/04/20	019	(2)		nmon ock	363,504	(2)	0		D	
Series C-2 Preferred Stock	(2)	11/04/2019			С			155,201	11/04/20	019	(2)		nmon ock	155,201	(2)	0	1	D	
	nd Address of n Fund L	f Reporting Person* .P.																	
(Last)	EXPRESS	(First) WAY PLAZA	(Midd	lle)															
(Street) ROSLYM		NY	1157	77			,												
(City)		(State)	(Zip)																
		f Reporting Person* 1 Fund II, L.P.																	

(Last)	(First)	(Middle)					
3 EXPRESSWA	AY PLAZA						
(Street)			_				
ROSLYN HEIGHTS	NY	11577					
(City)	(State)	(Zip)	_				
1. Name and Address of Reporting Person* <u>GUTHART LEO</u>							
(Last)	(First)	(Middle)					
3 EXPRESSWAY PLAZA							
(Street) ROSLYN HEIGHTS	NY	11577	_				
(City)	(State)	(Zip)					

## **Explanation of Responses:**

- 1. Consists of (1) 1,641,666 shares held of record by Topspin Biotech Fund II, LP; and (ii) 933,705 shares held of record by Topspin Fund, LP. Each of Topspin Biotech Fund II, LP and Topspin Fund, LP disclaims beneficial ownership of the shares held of record by the other.
- 2. Each share of Series B, C and C-2 Preferred Stock shown in Column 5 converted into one share of Common Stock automatically upon the closing of the Issuer's initial public offering without payment of further consideration. The shares have no expiration date. Giving effect to such conversion, the ownership by the reporting persons of the Issuer's common stock is as set forth in Note 1 above.
- 3. 1,641,666 of such shares are held directly by Topspin Biotech Fund II, L.P. LG Management, LLC, the general partner of Topspin Biotech Fund II, L.P., may be deemed to have voting and dispositive power with respect to the shares. Leo A. Guthart, the managing member of LG Management, LLC, may also be deemed to have voting and dispositive power with respect to the shares. Each of LG Management, LLC and Leo A. Guthart disclaims beneficial ownership of the shares, except to the extent of their respective indirect pecuniary interests in such shares.
- 4. 933,705 of such shares are held directly by Topspin Fund L.P. LG Management, LLC, the general partner of Topspin Fund L.P., may be deemed to have voting and dispositive power with respect to the shares. Leo A. Guthart, the managing member of LG Management, LLC, may also be deemed to have voting and dispositive power with respect to the shares. Each of LG Management, LLC and Leo A. Guthart disclaims beneficial ownership of the shares, except to the extent of their respective indirect pecuniary interests in such shares.

TOPSPIN FUND L.P., /s/ Leo A. Guthart, Managing Member 11/15/2019 of the General Partner TOPSPIN BIOTECH FUND II, L.P., /s/ Leo A. Guthart, 11/15/2019 Managing Member of the General Partner LG MANAGEMENT, LLC, /s/ Leo A. Guthart, Managing 11/15/2019 Member /s/ Leo A. Guthart 11/15/2019 \*\* 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.