FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL 3235-0287 OMB Number: 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) Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

| or Section 30(ii) or the investment Company Act or 1340 |                                 |                 |                                                                      |                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                    |  |  |  |
|---------------------------------------------------------|---------------------------------|-----------------|----------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|--|--|--|
| 1. Name and Addre                                       | ss of Reporting Perso<br>arshad | on <sup>*</sup> | 2. Issuer Name and Ticker or Trading Symbol Vaxxinity, Inc. [ VAXX ] | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable)  Director 10% Owner                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                    |  |  |  |
| (Last) 1717 MAIN ST                                     | (First)<br>REET                 | (Middle)        | 3. Date of Earliest Transaction (Month/Day/Year) 01/13/2022          | X                                                                                                                                              | Officer (give title below) (Former) Chief Scientific Sc | Other (specify below) entific Off. |  |  |  |
| (Street) DALLAS TX (City) (State)                       |                                 | 75201 (Zip)     | 4. 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 Acquired, Disposed of, or Beneficially Owned 2. Transaction 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 7. Nature of 1. Title of Security (Instr. 3) 2A. Deemed 5. Amount of 6. Ownership Form: Direct (D) or Indirect Execution Date, Transaction if any (Month/Day/Year) Code (Instr. Beneficially Owned Following Beneficial (Month/Day/Year) 8) (I) (Instr. 4) Ownership (Instr. 4) Reported (A) or (D) Transaction(s) (Instr. 3 and 4) Code ٧ Amount Price Class A common stock 01/13/2022 M 10 000 A \$0.57 10,000 D Class A common stock 07/29/2022 M 20,000 \$0.57 40,000(1) D Α Class A common stock 08/15/2022 M 26,005 Α \$0.57 66.005 D Class A common stock 08/22/2022 M 2,640 \$0.57 68,645 D Α

## 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) |   |     |        | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative<br>Security (Instr. 3<br>and 4) |                                        | 8. Price of<br>Derivative<br>Security<br>(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)                | \$0.57                                                                | 01/13/2022                                 |                                                             | M                            |   |     | 10,000 | 06/05/2021 <sup>(2)</sup>                                      | 03/01/2031         | Class A common stock                                                                                | 10,000                                 | \$0                                                 | 116,730                                                                                                                    | D                                                                        |                                                                    |
| Stock<br>option<br>(right to<br>buy)                | \$0.57                                                                | 07/29/2022                                 |                                                             | М                            |   |     | 20,000 | 06/05/2021 <sup>(2)</sup>                                      | 03/01/2031         | Class A common stock                                                                                | 20,000                                 | \$0                                                 | 86,730 <sup>(3)</sup>                                                                                                      | D                                                                        |                                                                    |
| Stock<br>option<br>(right to<br>buy)                | \$0.57                                                                | 08/15/2022                                 |                                                             | М                            |   |     | 26,005 | 06/05/2021 <sup>(2)</sup>                                      | 03/01/2031         | Class A common stock                                                                                | 26,005                                 | \$0                                                 | 60,725                                                                                                                     | D                                                                        |                                                                    |
| Stock<br>option<br>(right to<br>buy)                | \$0.57                                                                | 08/22/2022                                 |                                                             | М                            |   |     | 2,640  | 06/05/2021 <sup>(2)</sup>                                      | 03/01/2031         | Class A common stock                                                                                | 2,640                                  | \$0                                                 | 58,085                                                                                                                     | D                                                                        |                                                                    |

## **Explanation of Responses:**

- 1. The Reporting Person's Form 4 filed on May 5, 2022 incorrectly reported that the Reporting Person owned 10,000 shares of Class A common stock after the transaction on May 3, 2022 but the Reporting Person then owned 20,000 shares of Class A common stock.
- 2. These options are subject to a four year time-based vesting schedule, with 25% vested on 6/5/2021 and the remainder vesting in equal installments each month during the remainder of the vesting period.
- 3. The Reporting Person's Form 4 filed on May 5, 2022 incorrectly reported that the Reporting Person owned 116,730 of these stock options after the transaction on May 3, 2022 but the Reporting Person then owned 106,730 of these stock options

/s/ Rene Paula Molina, attorney-in-fact for Farshad

08/29/2022

Guirakhoo \*\* Signature of Reporting Person

Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

- $^{\star}$  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.