# SEC Form 4

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# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

	RUVAL						
OMB Number:	3235-0287						
Estimated average burden							
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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).
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### 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 Address of Reporting Person* MOEBIUS HANS			2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>Athira Pharma, Inc.</u> [ ATHA ]		tionship of Reporting Per all applicable) Director	10% Owner					
(Last) C/O ATHIRA F	(First) PHARMA, INC.	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 06/02/2023	X	Officer (give title below) Chief Medical	Other (specify below) Officer					
18706 NORTH CREEK PARKWAY, SUITE 104		VAY, SUITE 104	4. If Amendment, Date of Original Filed (Month/Day/Year)	g (Check Applicable							
(Street) BOTHELL	WA	98011		X	Form filed by One Rep Form filed by More tha Person	ů.					
(City)	(State)	(Zip)	Rule 10b5-1(c) Transaction Indication								
			Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan th satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.								

### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)			4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock <sup>(1)</sup>	05/18/2023 <sup>(2)</sup>		Α	v	7,764	A	<b>\$2.41</b> <sup>(3)</sup>	73,600	D	
Common Stock	06/02/2023		М		7,882	A	\$1.35	81,482	D	

#### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

	(e.g., puts, cails, warrants, options, convertible securities)														
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transac Code (Ir 8)		of I		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Stock Option (Right to Buy)	\$1.35	06/02/2023		М			7,882	(4)	08/14/2029	Common Stock	7,882	\$0.00	0	D	

#### Explanation of Responses:

1. The reporting person is voluntarily reporting the acquisition of shares of the issuer's common stock pursuant to the Athira Pharma, Inc. 2020 Employee Stock Purchase Plan ("ESPP"), for the ESPP

Purchase Period (as defined in the ESPP) of November 18, 2022 through May 18, 2023. This transaction is also exempt under Rule 16b-3(c). 2. The Purchase Period ended May 18, 2023 and is the Purchase Period comprising the Offering Period (as defined in the ESPP) that began November 18, 2022.

2. In according with the CEDB these shares were presented to a CEO of the alexies of CHO (200 ellines in the ESPF) fillel Dega

3. In accordance with the ESPP, these shares were purchased based on 85% of the closing price on May 18, 2023.

4. One-fourth of the shares subject to the option vested on June 1, 2020 and one-fourth of the shares subject to the option vest on each year thereafter.

Remarks:

#### <u>/s/ Mark Worthington,</u> <u>Attorney-in-Fact for Hans</u>

Moebius

06/06/2023

\*\* Signature of Reporting Person Date

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

 $\ast$  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.

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