SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Markinster D.O. 00540

Washington, D.C. 20549

OMB APPROVAL

OMB Number:	3235-0287
Estimated average b	ourden
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 [*] HALE DAVID F			2. Issuer Name and Ticker or Trading Symbol Oncternal Therapeutics, Inc. [ONCT]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner					
(Last)	(First) (Middle)		3. Date of Earliest Transaction (Month/Day/Year) 02/23/2024		Officer (give title below)	Other (specify below)				
12230 EL CAN (Street)	IINO REAL, S	UITE 230	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indi [*] Line) X	vidual or Joint/Group Filin	porting Person				
SAN DIEGO	CA	92130			Form filed by More that Person	an One Reporting				
(City)	(State)	(Zip)	Rule 10b5-1(c) Transaction Indication	to a contr Instructio	act, instruction or written pla n 10.	an that is intended to				
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)	3. Transa Code (8)				5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	02/23/2024		Р		714(1)	A	\$9.04 ⁽¹⁾	714	D	
Common Stock	02/23/2024		Р		266(1)	A	\$9.04 ⁽¹⁾	29,673	Ι	By Hale BioPharma Ventures, LLC
Common Stock								917	Ι	By Hale Trading Company

																1 2
	Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)															
1. Title of Derivative Security 2. Conversion or Exercise Price of Derivative Security 3. Transaction Date (Month/Day/Year) 3A. Deemed Execution Date, if any (Month/Day/Year)		4. 5. N Transaction Code (Instr. 8) 8) 8) 8) 9 8) 8 9 8 9 8 9 8 9 8 9 8 9		of Deriv Secu Acqu (A) o Dispo of (D (Instr	5. Number 6. Date of Expirat		-		le and unt of rities rlying ative rity (Instr. I 4)	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	ly	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					

Explanation of Responses:

1. The shares of common stock were acquired directly from another director of the Issuer, Robert James Wills, in a private sale. The price per share was based on the closing price of the Issuer's common stock on February 23, 2024.

Remarks:

The number of shares of common stock in this form have been adjusted to reflect the Issuer's 1-for-20 reverse stock split effective as of January 8, 2024.

<u>/s/Chase C. Leavitt, Attorney-</u> <u>02/27/2024</u>

** 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.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).