SEC Form 4
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## FORM 4

Check this box if no longer subject to

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable) Director

Officer (give title

	OMB Number:	3235-0287									
l	Estimated average burden										
l	hours per response:	0.5									

10% Owner

Other (specify

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 19 or Section 30(h) of the Investment Company Act of 1940					
1. Name and Address of Reporting Person <sup>*</sup> Kelemen Vicki	2. Issuer Name <b>and</b> Ticker or Trading Symbol Cardiff Oncology, Inc. [ CRDF ]					
(Last) (Eirst) (Middle)	3 Date of Farliest Transaction (Month/Dav/Year)					

	ast) (First) (Mi /O CARDIFF ONCOLOGY, INC.		3. Date of Earliest Transaction (Month/Day/Year) 01/02/2021	Exec. VP and COO
11055 FLINTKO	OTE AVE		4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)
(Street) SAN DIEGO	CA	92121		X Form filed by One Reporting Person Form filed by More than One Reporting
(City)	(State)	(Zip)		Person

### 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)	Transaction Code (Instr.		4. Securities Disposed Of 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	01/02/2021		<b>M</b> <sup>(1)</sup>		70	Α	\$0	5,124	D	
Common Stock	01/02/2021		F		<b>31</b> <sup>(2)</sup>	D	\$ <mark>0</mark>	5,093	D	

#### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, 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. Transa Code ( 8)		of Deriv	r osed ) r. 3, 4	6. Date Exercisable and Expiration Date (Month/Day/Year)		and 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				
Restricted Stock Units	(3)	01/02/2021		М			70	(4)	(4)	Common Stock	70	\$0	0	D	

#### Explanation of Responses:

1. Represents the conversion upon vesting of restricted stock units into common stock (the "Converted Common Stock"). On January 4, 2017, the reporting person was granted 1,459 restricted stock units, 261 of which vested on January 2, 2020. Such restricted stock units were previously reported in Table II on a Form 3 filed with the Securities and Exchange Commission on June 22, 2020.

2. The reporting person is reporting the withholding by Cardiff Oncology, Inc. of 31 shares of common stock to satisfy the reporting person's tax withholding obligations in connection with the delivery of the Converted Common Stock to the reporting person on January 4, 2021.

3. Each restricted stock unit is the economic equivalent of one share of Cardiff Oncology, Inc. common stock.

4. On January 4, 2017, the reporting person was granted 278 restricted stock units, 70 of which vested on January 2, 2021. The common stock into which such vested restricted stock units converted on January 2, 2021 is reported in Table I on this Form 4.

**Remarks:** 

## <u>/s/ Vicki Kelemen</u>

\*\* Signature of Reporting Person

01/05/2021 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.