SEC Form 3 FORM 3

## UNITED STATES SECURITIES AND EXCHANGE

COMMISSION

Washington, D.C. 20549

## **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

OMB APPROVAL

3235-OMB Number: 0104

Estimated average burden 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

. Name and Address of Reporting Person* Evans Elizabeth E. 05/11/2021			3. Issuer Name and Ticker or Trading Symbol <u>VACCINEX, INC.</u> [ VCNX ]					
(Last) (First) (Middle) C/O VACCINEX, INC.			4. Relationship of Reporting Issuer (Check all applicable)	Person(s) to 10% Owner		5. If Amendment, Date of Original Filed (Month/Day/Year)		
1895 MOUNT HOPE AVENUE	_		Director X Officer (give title below)		specify	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting		
(Street) ROCHESTER NY 14620			Chief Operating	g Officer		<ul> <li>Person</li> <li>Form filed by More than One</li> <li>Reporting Person</li> </ul>		
(City) (State) (Zip)								
Table I - Non-Derivative Securities Beneficially Owned								
1. Title of Security (Instr. 4)			2. Amount of Securities Beneficially Owned (Instr. 4)	3. Owne Form: D (D) or Ir (I) (Instr	Direct C ndirect	I. Nature of Indire Dwnership (Instr. 1	lature of Indirect Beneficial nership (Instr. 5)	
Common Stock			9,600		)			
Table II - Derivative Securities Beneficially Owned           (e.g., puts, calls, warrants, options, convertible securities)								
1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversi or Exerci	ise Form:	6. Nature of Indirect Beneficial Ownership (Instr.	
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivativ Security	ve Direct (D) or Indirect (I) (Instr. 5)	5)	
Stock Option (Right to Buy)	(1)	12/22/2025	Common Stock	9,610	7.1	D		
Stock Option (Right to Buy)	(1)	12/23/2025	Common Stock	8,605	7.1	D		
Stock Option (Right to Buy)	(2)	03/14/2029	Common Stock	12,400	3.9	D		
Stock Option (Right to Buy)	(3)	04/04/2030	Common Stock	10,000	3.82	D		
Stock Option (Right to Buy)	(4)	04/03/2031	Common Stock	8,000	2.93	D		

Explanation of Responses:

1. This option is fully exercisable as of the date of this report

2. This option has vested with respect to 6,200 shares and the remainder vests in two equal annual installments beginning on March 15, 2022.

3. This option has vested with respect to 2,500 shares and the remainder vests in three equal annual installments beginning on April 3, 2022.

4. This option vests one-fourth on each of the first four anniversaries of the April 2, 2021 grant date.

/s/ Sco<u>tt E. Royer</u>, Attorney-in-Fact for Elizabeth Evans \*\* Signature of Reporting Person

05/21/2021

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 5 (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.

VACCINEX, INC.

SECTION 16 POWER OF ATTORNEY

Know all by these presents, that the undersigned hereby constitutes and appoints each of Maurice Zauderer and Scott E. Royer, each for so long as she is an officer of Vaccinex, Inc. (the "Company"), the undersigned's true and lawful attorney-in-fact to:

(1) execute for and on behalf of the undersigned, in the undersigned's capacity as an officerand/or director of the Company, Forms 3, 4 and 5 in accordance with Section 16(a) of the Securities Exchange Act of 1934, as amended, and the rules thereunder;

(2) do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete and execute any such Form 3, 4, or 5 and timely file such form with the United States Securities and Exchange Commission and any stock exchange or similar authority; and

(3) take any other action of any type whatsoever in connection with the foregoing which, in the opinion of such attorney-infact, may be of benefit to, in the best interest of, or legally required by, the undersigned, it being understood that the documents executed by such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as such attorney-in-fact may approve in such attorney-in-fact's discretion.

The undersigned hereby grants to each attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever requisite, necessary, or proper to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as the undersigned could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that such attorney-in-fact, or such attorney-in-fact's substitute or substitutes, shall lawfully do or cause to be done by virtue of this Power of Attorney and the rights and powers herein granted. The undersigned acknowledges that the foregoing attorneys-in-fact, in serving in such capacity at the request of the undersigned, are not assuming, nor is the Company assuming, any of the undersigned's responsibilities to comply with Section 16 of the Securities Exchange Act of 1934, as amended.

This Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Forms 3, 4 and 5 with respect to the undersigned's holdings of and transactions in securities issued by the Company, unless earlier revoked by the undersigned in a signed writing to the foregoing attorneys-in-fact.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 14th day of May, 2021.

/s/ Elizabeth Evans

Elizabeth Evans