SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

OMB APPROVAL	
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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).

☐ Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan for the purchase or sale of equity securities of the issuer that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.

1. Name and Address of Reporting Person*
Chen Yi-Kuei
(Last) (First) (Middle)
668 ARROW GRAND CIR. SUITE 206
(Street)
COVINA CA 91772
(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading Symbol
Apollomics Inc. [APLM]
Foreign Trading Symbol

3. Date of Earliest Transaction (Month/Day/Year)
09/14/2026

4. If Amendment, Date of Original Filed (Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer (Check all applicable)
☑ Director
10% Owner
☑ Officer (give title below)
Other (specify below)
Chief Operating Officer

6. Individual or Joint/Group Filing (Check Applicable Line)
☑ 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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
CLASS A ORDINARY SHARES	09/15/2026		M		5,000	A	$0	20,100	D	
CLASS A ORDINARY SHARES								121,248	I	Through Maxpro Investment Co., Ltd.(1)

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. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		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)	$23.18	09/14/2026		A		8,000		(2)	09/14/2026	CLASS A ORDINARY SHARES	8,000	$0	8,000	D	
Restricted Stock Units	(3)	09/15/2026		M			5,000	(4)	(4)	CLASS A ORDINARY SHARES	5,000	$0	5,000	D	

Explanation of Responses:

1. The reporting person is a member of the Board of Directors of Maxpro Investment Co., Ltd. and is co-founder and managing director of Maxpro Ventures Ltd. The amount reported includes a 100 share adjustment for shares previously owned but inadvertently omitted. Excludes 3,823 Class A Ordinary Shares issuable upon the exercise of warrants held directly by Maxpro Investment Co., Ltd., which were previously reported on the Form 3 filed March 18, 2026 and the Form 3/A filed April 14, 2026. The reporting person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.
2. The stock option was granted under the Apollomics Inc. 2023 Incentive Award Plan on September 14, 2026. The option vests and becomes exercisable over a one-year period: fifty percent (50%) of the shares subject to the option vest on March 14, 2027 (six months from the grant date), and the remaining fifty percent (50%) vest on September 14, 2027 (twelve months from the grant date), subject to the reporting person's continued service to the Issuer through each applicable vesting date.
3. Each restricted stock unit represents a contingent right to receive one Class A Ordinary Share
4. RSUs were granted and previously reported on a Form 3 filed March 18, 2026 and a Form 3/A filed April 14, 2026. Of the initial RSU grant, 5,000 shares vested on each of February 9, 2026, March 15, 2026, June 15, 2026 and September 15, 2026. This transaction represents the vesting of 5,000 RSUs on September 15, 2026.

/s/ Alison M. Pear, Attorney-In-Fact 09/17/2026

** 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.