



Insider Intelligence

Insider Intelligence Trade Alert 1/23/22

****Buy Alert: MAIA Biotechnology Inc
(NASDAQ: MAIA)****

Price at alert: \$4.67

Buy Limit: \$4.99

Stop Limit: \$3.50

Another Insider Intelligence trade idea coming at you.

This week, we're issuing a buy alert on MAIA Biotechnology Corporation.

MAIA is a clinical-stage pharmaceutical company that specializes in telomere-targeting cancer treatments.

What are telomeres you ask? They're the little "caps" on the end of your chromosomes.

When your cells divide, these telomeres separate, to create a brand new copy of chromosomes for your two new cells.

As you age, these telomeres wear out, which causes your cellular health to decline.

A lot of research has actually been done on the role of using telomere therapies to increase our longevity.

The idea being that if worn out telomeres lead to worn out cells, repairing our telomeres can actually increase our lifespan on a cellular level.

But in MAIA's case, they're focusing on telomeres and their role in cancer.

According to MAIA's website, telomeres play a key role in the proliferation and reproductive immortality of cancer cells.

MAIA's main drug THIO targets these telomeres and degrades them. Essentially “uncapping” the chromosomes inside the cancerous cells.

In theory, this would cause the chromosomes to break apart and the cancer cells to implode.

THIO is currently in Phase 2 of its FDA clinical trials. Testing is slated to begin in the second half of 2023.

For biotech companies, successful trials can often result in major stock moves.

Which may be why insiders are loading up on shares prior to the start of the Phase 2 study.

Over the last month, CEO Vlad Vitoc has bought up 4,000 shares in two separate transactions.

SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3280-0287

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

1. Name and Address of Reporting Person
ELLIN ROBERT S
(Last) (First) (Middle)
C/O LIVEONE, INC.
269 SOUTH BEVERLY DRIVE, SUITE 1450
(Street)
BEVERLY HILLS CA 90212
(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
LiveOne, Inc. [LVO]
3. Date of Earliest Transaction (Month/Day/Year)
11/16/2022
4. If Amendment, Date of Original Filed (Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer
(Check all applicable)
X Director X 10% Owner
X Officer (give title below) Other (specify below)
CBO & Chairman
6. Individual or Joint/Group Filing (Check Applicable Line)
X 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)		
Common Stock, \$0.001 par value	11/16/2022		P	15,000	A	\$0.7264 ⁽¹⁾	2,054,666	D	
Common Stock, \$0.001 par value							17,532,984	I	See footnotes ⁽²⁾ (3)(4)(5)

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

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Washington, D.C. 20549

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OMB Number: 3235-0287

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

1. Name and Address of Reporting Person

ELLIN ROBERT S

(Last) (First) (Middle)

C/O LIVEONE, INC.

269 SOUTH BEVERLY DRIVE, SUITE 1450

(Street)

BEVERLY HILLS CA 90212

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

LiveOne, Inc. [LVO]

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

11/21/2022

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

5. Relationship of Reporting Person(s) to Issuer (Check all applicable)

X Director X 10% Owner

X Officer (give title below) Other (specify below)

CEO & Chairman

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

X 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)

Code V

4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)

Amount (A) or (D) Price

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)

Common Stock, \$0.001 par value

11/21/2022

P

25,000

A

\$0.6675⁽¹⁾

2,079,666

D

Common Stock, \$0.001 par value

11/21/2022

P

10,000

A

\$0.6809⁽²⁾

2,089,666

D

Common Stock, \$0.001 par value

17,552,984

I

See footnotes⁽¹⁾ (4)(2)(3)

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)

Code V

5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)

(A) (D)

6. Date Exercisable and Expiration Date (Month/Day/Year)

Date Exercisable Expiration Date

7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)

Title Amount or Number of Shares

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)

Board of Directors-member Stan Smith has scooped up 10,000 shares over the course of four transactions (only one pictured here).

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

1. Name and Address of Reporting Person

Smith Stan

(Last) (First) (Middle)

444 WEST LAKE STREET,

(Street)

CHICAGO IL 60606

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

MAIA Biotechnology, Inc. [MAIA]

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

12/20/2022

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

5. Relationship of Reporting Person(s) to Issuer (Check all applicable)

X Director 10% Owner

X Officer (give title below) Other (specify below)

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

X 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)

Code V

4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)

Amount (A) or (D) Price

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)

Common Stock

12/20/2022

P

4,048

A

\$3.53⁽¹⁾⁽²⁾

507,376

I

See Footnote⁽²⁾

Common Stock

12/21/2022

P

399

A

\$3.43⁽²⁾⁽³⁾

507,775

I

See Footnote⁽²⁾

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

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And fellow board member Christian Luput has been buying in as well.

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

1. Name and Address of Reporting Person <u>Luput Cristian</u>		2. Issuer Name and Ticker or Trading Symbol <u>MAIA Biotechnology, Inc. [MAIA]</u>		5. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director 10% Owner Officer (give title below) Other (specify below)	
(Last) (First) (Middle) <u>444 WEST LAKE STREET, SUITE 1700</u>		3. Date of Earliest Transaction (Month/Day/Year) <u>01/13/2023</u>			
(Street) <u>CHICAGO IL 60606</u>		4. If Amendment, Date of Original Filed (Month/Day/Year)		6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person Form filed by More than One Reporting Person	
(City) (State) (Zip)					

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			
Common Stock	01/13/2023		P		504	A	\$3.88 ⁽¹⁾⁽²⁾	278,572	D	

Considering these insider buys plus the progression of THIO through the FDA trial pipeline, we're adding this trade idea to our model portfolio.

On important thing to note:

MAIA recently IPO'ed over the summer. So, without a significant track record to go off of, this is a riskier trade than most.

Like we say every time, when it comes to any investment, never risk anything that you're not willing to lose!

Any questions?

Feel free to reach out and let us know!

To your wealth,

Alex Reid, Founder Insider Intelligence

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