| SEC Form 4 |
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## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

| OMB Number:              | 3235-0287 |  |  |  |  |  |  |  |  |
|--------------------------|-----------|--|--|--|--|--|--|--|--|
| 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

| 1. Name and Address of Reporting Person <sup>*</sup><br>Davis Krista |  | Person* | 2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>ANI PHARMACEUTICALS INC</u> [ ANIP ]   |  | ationship of Reporting Pe<br>all applicable)<br>Director | 10% Owner                           |  |  |  |  |
|--|--|---------|--|--|--|-------------------------------------|--|--|--|--|
| (Last)<br>C/O ANI PHAI   | (First) (Middle)<br>HARMACEUTICALS, INC. |         | 3. Date of Earliest Transaction (Month/Day/Year)<br>09/12/2023   | X  | Officer (give title<br>below)<br>SVP, CHIEF HR O         | Other (specify<br>below)<br>OFFICER |  |  |  |  |
| 210 MAIN STREET WEST   |  |         | 4. If Amendment, Date of Original Filed (Month/Day/Year)   | Individual or Joint/Group Filing (Check Applicable<br>e) |  |                                     |  |  |  |  |
|  |  |         | n  | X  | Form filed by One Rep                                    | oorting Person                      |  |  |  |  |
| (Street)<br>BAUDETTE   | MN                                       | 56623   |  |  | Form filed by More that<br>Person                        | an One Reporting                    |  |  |  |  |
| (City)   | (State)                                  | (Zip)   | Rule 10b5-1(c) Transaction Indication  |  |  |                                     |  |  |  |  |
|  |  |         | Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10. |  |  |                                     |  |  |  |  |

## Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | 3.<br>Transa<br>Code (<br>8) |   |        |               |                | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------|--|------------------------------|---|--------|---------------|----------------|---|---|---|
|                                 |  | Code                         | v | Amount | (A) or<br>(D) | Price          | Reported<br>Transaction(s)<br>(Instr. 3 and 4)                |   | (11150. 4)  |
| Common Stock                    | 09/12/2023                                 | <b>F</b> <sup>(1)</sup>      |   | 1,486  | D             | <b>\$61.91</b> | 35,209  | D   |   |

## Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3, 4<br>and 5) |     | 6. Date Exerc<br>Expiration Da<br>(Month/Day/Y | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative<br>Security (Instr.<br>3 and 4) |       | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
|---|---|--|---|------------------------------|---|---|-----|--|---|-------|---|--|--|--|--|
|   |   |  |   | Code                         | v | (A)   | (D) | Date<br>Exercisable                            | Expiration<br>Date  | Title | Amount<br>or<br>Number<br>of<br>Shares              |  |  |  |  |

Explanation of Responses:

1. Shares withheld for tax purposes exempt under Rule 16(b)-3 in connection with the vesting of 4,108 shares of restricted stock, the grant of which was previously reported. **Remarks:** 

/s/ Krista Davis, by attorney-09/14/2023

in-fact Meredith W. Cook

\*\* 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).