SEC Form 4

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

OMB APPROVAL

OMB Number:	3235-0287
Estimated average burg	den
hours per response:	0.5

D

D

Sectio obligat	n 16. Form 4 or tions may conti ction 1(b).		0	Filed pursuar or Sec	nt to Section 16(a ction 30(h) of the) of the S Investme	ecuriti nt Con	es Exchan npany Act	nge Ac of 194	ct of 193 40	4			ated average bur per response:	den 0.5		
1. Name and Address of Reporting Person* Gupta Vinita D					2. Issuer Name and Ticker or Trading Symbol <u>PRECIGEN, INC.</u> [PGEN]							5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
	<u>viinta D</u>										X	Director		10%	Owner		
(Last) 20374 S	`	First) EADOWS PARH	(Middle)		3. Date of Earliest Transaction (Month/Day/Year) 03/09/2023						Officer (below)	give title	Othe belov	· (specify /)			
——				4. If Am	4. If Amendment, Date of Original Filed (Month/Day/Year)					6. Individual or Joint/Group Filing (Check Applicable							
(Street)												Line) X Form filed by One Reporting Person					
GERMA	NTOWN N	MD	20876									,		I			
,												Form file Person	ed by More	e than One Rep	orting		
(City)	(5	State)	(Zip)														
		Та	ble I - Non-I	Derivative S	ecurities Ac	quired,	Dis	osed o	of, or	Bene	eficially	Owned					
Date			Transaction ate Aonth/Day/Year)	d 3. Date, Transaction Code (Instr. y/Year) 8) 4. Securities Acquired (A) Disposed Of (D) (Instr. 3, 4						6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Ownership						
						Code	v	Amount		(A) or (D)	Price	Transaction (Instr. 3 a)			(Instr. 4)		
Common	ommon Stock 03/09/2023 A 48,290 A					\$1.17(1) 301,	730	D								
					curities Acqı IIs, warrants							Owned					
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/Yea	Code (Instr.	Derivative	6. Date E Expiratio (Month/D	n Date	te of Securities ear) Underlying		er) of Securities Underlying Derivative Secu		of Securities Underlying Derivative Secu		8. Price of Derivative Security (Instr. 5)	9. Numbe derivative Securities Beneficia Owned Following Reported Transactio	e Ownersl s Form: lly Direct (C or Indire (I) (Instr.	Beneficial Ownership ct (Instr. 4)

Date Exercisable

(3)

03/09/2023

(D)

Expiration Date

(3)

03/09/2033

Title

Commor

Stock

Common Stock

		(Right to Buy)			
--	--	-------------------	--	--	--

03/09/2023

03/09/2023

Explanation of Responses:

Restricted

Stock

Units Option to Purchase Common Stock

(2)

\$1.17

1. The shares were issued to the reporting person in lieu of an annual retainer of \$56,500.

2. Each restricted stock unit ('RSU") represents a contingent right to receive one share of Precigen common stock.

3. The RSUs vest in full on March 9, 2024.

/s/ Vinita D. Gupta, by Donald

Amount

Number of Shares

106,837

125,489

03/13/2023 P. Lehr, as attorney-in-fact

** 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).

Code v

A

A

(A)

106.837

125,489

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.

\$<mark>0</mark>

\$<mark>0</mark>

(Instr. 4)

106.837

125,489